

From surviving to thriving: Planning considerations and proposals to support sustainable livelihoods in predominantly rural areas

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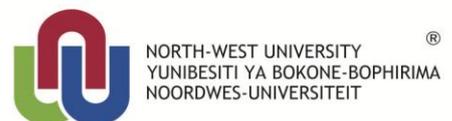
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It all starts here™



PREFACE

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ABSTRACT

One of the most pressing and critical challenges that South Africa faces today is the impoverishment experienced by communities in predominantly rural areas, specifically the poorer and more vulnerable segments of the population. Women in particular bear the brunt of poverty in these areas (Government of National Unity, 1995). The difficulties that predominantly rural communities face are numerous and include, amongst other things, the loss of essential natural resources, food insecurity, a lack of economic opportunity, the unmet need for social services, poor education, geographic isolation and poor infrastructure (South Africa. Department of Rural Development and Land Reform, 2010). Although continuous efforts are made by various institutions and organisations to address these challenges, the deprivation suffered by these communities seems greater than ever. A baseline study released in 2011 by the North-West University (Coetzee & Du Toit, 2011a:54) asserts that in the North-West Province (a predominantly rural province), many households still do not have access to basic human necessities (e.g. they are not on the services grid), circumstances which is also prevalent in most of the other predominantly rural areas in South Africa.

The purpose of this study is to offer planning considerations and proposals suited specifically to the indigenous South African context, so that the development of sustainable rural livelihoods may be supported. It is predicated *inter alia* on the concepts of the sustainable rural development, the contribution of cultural precepts together with the spirit of community traditions to sustainable rural livelihoods, planning for sustainable rural livelihoods and the spatial dimension of rural livelihoods. The intention of these planning proposals and considerations is to foster the ability of communities in predominantly rural areas to survive and thrive in a dignified manner and to assist these communities to meet the pressures of urban growth, the deteriorating quality of life, and the homogenisation of settlement form and design in the developing world.

To understand the particular deprivations that the South African rural population face and the best means to address it in sustainable rural livelihood development, it is necessary to have a conception of the local context and the diversity of livelihoods within these contexts. The significance of local context is highlighted by Chambers and Conway (1992: 21), who developed their sustainable livelihoods framework in a large part to emphasise the diversity of local context, specifically in rural areas. It is also the argument of the National Development Plan (2012:264) that the rational approach to develop rural areas requires an acceptance of the reality of rural differentiation. It is particularly necessary to understand the reality of the traditional community environment context in the predominantly rural areas of the South Africa.

Integral to the development of sustainable rural livelihoods in the complex rural space of South Africa, is the requirement of community-based planning. This study asserts that the implementation of community-based planning in South Africa should continue to evolve beyond planning *for* a community to planning *by* a community for itself (an approach widely supported, as will be shown later in the study). The concept of community-based planning in South Africa has already been established through the Integrated Development Planning (IDP) process on local government level. However, the application of this approach on a micro-scale (for instance, at village level) as a sustainable rural livelihood development strategy, and utilising it to augment local municipal-level IDPs, has not yet been explored. It is the contention of this study that in using community-based planning at micro-level, it will be possible for rural communities to become the subject, not the object, of development studies.

This study also endeavours to place specific emphasis on the integral part of women in developing rural livelihood approaches. Despite the pivotal role of women in survival strategies of rural communities (especially the poorest segments of the population), they still have unequal access to the resources necessary to support them in this effort. According to the Department of Human Settlements (2009:3), women form the majority of the rural population and female-headed households are particularly disadvantaged. Basic social services (i.e. food, water, shelter, energy, transport, etc.) are comparatively more expensive for the poor (especially women) and the poorest households have to contend with illiteracy, difficulty in obtaining water, fuel and other services, and limited opportunities. It is therefore of critical importance that women in the predominantly rural areas of South Africa should be the focus of empowerment initiatives in sustainable rural livelihood development.

KEYWORDS/SEARCH TERMS

1. Sustainable rural livelihoods
2. Traditional community environment
3. Community-based planning (CBP)
4. Micro-development
5. Role of women in predominantly rural areas

OPSOMMING

Een van die kwellendste en mees kritiese uitdagings wat Suid Afrika in die gesig staar, is die verarming wat gemeenskappe in die oorwegend landelike gebiede beleef, veral die armer en meer kwesbare gedeelte van die bevolking. Veral vroue in die oorewegend landelike gebiede dra die swaarste aan die las van armoede (Government of National Unity, 1995). Hierdie gemeenskappe het te kampe met veelvuldige probleme, wat onder meer die verlies aan noodsaaklike natuurlike hulpbronne, voedselonsekerheid, min ekonomiese geleenthede, skamele sosiale dienste, ontoereikende onderwys, geografiese afsondering en gebrekkige infrastruktuur insluit (Departement Landelike Ontwikkeling en Grondhervorming, 2010). Alhoewel daar voortdurend pogings aangewend word deur verskillende instansies en organisasies om genoemde uitdagings die hoof te bied, wil dit voorkom asof die benadeling wat hierdie gemeenskappe beleef, groter is as ooit. 'n Aanvangslyn ondersoek van die Noordwes Universiteit in 2011 (Coetzee & Du Toit, 2011a:54), bevestig dat meeste huishoudings in die Noordwes provinsie, 'n oorwegend landelike provinsie net soos groot gedeeltes van Suid Afrika, steeds nie toegang tot basiese dienste het nie (m.a.w. hulle vorm nie deel van 'n dienste netwerk nie).

Die doelwit van hierdie studie is om sekere beplanningsoorwegings en -voorstelle te maak ter ondersteuning van volhoubare landelike lewensbestane, met 'n spesifiek inheemse Afrika inslag. Die voorstelle en oorwegings is onder andere gebaseer op die volgende begrippe:; die ontwikkeling van volhoubare landelike lewensbestane; die bydrae wat kulturele opvattinge en gemeenskapstradisies het ten opsigte van volhoubare landelike lewensbestane, beplanning vir landelike lewensbestane; en die ruimtelike aard van landelike lewensbestane. Die bedoeling met hierdie beplanningsvoorstelle en -oorwegings, is om gemeenskappe in oorwegend landelike gebiede se vermoëns te ontwikkel om te kan oorleef en floreer. Sodoende kan hierdie gemeenskappe ondersteun word om die uitdagings van verstedeliking, gelykvormigheid in ontwikkelingsbenaderings en nedersettingspatrone, asook die verslegting van lewensomstandighede, die hoof te bied.

Om begrip te hê vir die spesifieke beproewings wat die landelike inwoners van Suid Afrika ondervind, asook geskikte wyses om dit aan te spreek, te wete volhoubare landelike lewensbestane, is dit nodig om te verstaan wat die plaaslike verband is en die verskeidenheid betekenis van lewensbestane. Die betekenisvolheid van die plaaslike verband word beklemtoon deur Chambers en Conway, (1992:21), wat hul volhoubare lewensbestaan raamwerk grootliks ontwikkel het om die verskeidenheid van plaaslike verbande (veral in landelike gebiede), uit te lig. Dit is ook die Nasionale Ontwikkelingsplan (2012:264) se standpunt dat 'n verstandige benadering tot die ontwikkeling in landelike gebiede onder andere

sal behels dat die uiteenlopende aard van hierdie gebiede as werklikheid aanvaar word. Dit is veral van belang om die tradisionele gemeenskapsomgewing van die oorwegend landelike gebiede van Suid Afrika te begryp.

'n Integrale deel van die ontwikkeling van volhoubare landelike lewensbestane in die komplekse plattelandse sisteme van Suid Afrika, is gemeenskapsbeplanning. Die betoog van hierdie studie is dat die implementering van gemeenskapsbeplanning in Suid Afrika verder moet ontwikkel as beplanning *vir* 'n gemeenskap, na beplanning *deur* 'n gemeenskap vir hulself ('n benadering wat wye steun geniet, soos later in die studie aangetoon sal word). Die toepassing van gemeenskapsbeplanning in Suid Afrika is alreeds gevestig deur die Geïntegreerde Ontwikkelingsplan (GOP), wat deur plaaslike owerhede opgestel word, as deel van hul ontwikkelingsmandaat. Die toepassing van hierdie benadering op mikro-skaal (byvoorbeeld in plattelandse gehuggies) om volhoubare lewensbestane te vestig, asook om plaaslike owerhede se GOPs aan te vul, is egter nog nie ondersoek nie. Indien gemeenskapsbeplanning egter toegepas kan word op mikro-skaal, soos voorgestel in hierdie studie, kan landelike inwoners die *onderwerp*, en nie net die *voorwerp*, van ontwikkelingstudies word.

Die studie poog ook om spesifieke klem te plaas op die beslissende rol van vroue in die ontwikkeling van strategieë vir volhoubare landelike lewensbestane. Dit is veral noodsaaklik wanneer in ag geneem word dat, ten spyte van hul deurslaggewende bydrae tot oorlewingstrategieë veral onder die armste gedeeltes van die samelewing, vroue nog steeds ongelyke toegang het tot die hulpbronne wat nodig is om hulle hierin te ondersteun. Volgens die Departement van Menslike Nedersettings (2009:3), is die meerderheid van Suid Afrika se landelike bevolking vroulik en word huishoudings waarvan vroue die hoof is, veral benadeel. Basiese sosiale dienste (byvoorbeeld kos, water, skooling, energie, vervoer e.d.m.) is vergelykenderwys duurder vir armer huishoudings (veral dié met vrouens as hoof), wat boonop ook nog te kampe het met ongeletterheid, die moeite wat gepaard gaan met die verkryging van water, brandstof en ander dienste, en beperkte geleentheid. Dit is daarom van kritieke belang dat daar gefokus word op die bemagtiging van vroue in die oorwegend landelike gebiede van Suid Afrika, veral ten opsigte van die ontwikkeling van volhoubare lewensbestaan strategieë.

SLEUTELTERME

1. Volhoubare landelike lewensbestane
2. Tradisionele gemeenskapsomgewing
3. Gemeenskapsbeplanning
4. Mikro-ontwikkeling
5. Rol van vroue in oorwegend landelike gebiede

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LIST OF ACRONYMS AND ABBREVIATIONS

ASGISA	Accelerated and Shared Growth Initiative for South Africa (Presidency 2006)
BNG	Breaking New Ground policy
CBP	Community-Based Planning
CBO	Community-Based Organisation
CEDI	Community Economic Development Institution
COGTA	Department of Cooperative Governance and Traditional Affairs
CRDP	Comprehensive Rural Development Plan
CSIR	Council for Scientific and Industrial Research
DAFF	Department of Agriculture, Forestry and Fisheries
DEA	Department of Environmental Affairs
DFA	Development Facilitation Act
DFID	Department for International Development
DPLG	Department of Provincial and Local Government (National)
DRDLR	Department of Rural Development and Land Reform
DWS	Department of Water and Sanitation
EGC	Enterprise Green Communities
FAO	Food and Agriculture Organization of the United Nations
IDP	Integrated Development Plan
ITP	Integrated Transport Plan
LGMSA	Local Government Municipal Structures Act
MDB	Municipal Demarcation Board
MEC	Member of the Executive Council
MTSF	Medium Term Strategic Framework
MSA	Municipal Systems Act
NDP	National Development Plan
NEMA	National Environmental Management Act
NGO	Non-governmental Organisation

NLTTA	National Transport Transition Act
NLSTF	National Land Transport Strategic Framework
NSDP	National Spatial Development Perspective
NWA	National Water Act
NWRS	National Water Resource Strategy
ODI	Overseas Development Institute
PLAAS	Programme for Land and Agrarian Studies
PGDS	Provincial Growth and Development Strategies
PCAS	Policy Coordination and Advisory Services
PRA	Participatory Rural Appraisal
RDP	Reconstruction and Development Programme
SADC	Southern African Development Community
SALGA	South African Local Government Association
SFWS	Strategic Framework for Water Services
SLSA	Sustainable Livelihoods Southern Africa
SPLUMA	Spatial Planning and Land Use Management Act
TLGFA	Traditional Leadership and Governance Framework Act
WHOCC	World Health Organisation Collaborating Centre (WHOCC)
WfSGD	Water for Sustainable Growth and Development
WPTLG	White Paper on Traditional Leadership and Governance
WSA	Water Services Act

SELECTIVE GLOSSARY

To ensure a mutual understanding of some of the terms used in this study, the meaning thereof is given below:

Area	Physical space delineated by predetermined attributes; a part of a town, a region, a country, or the world.
Community-based planning (CBP)	The process through which citizens who live, work, invest or spend time in an area are actively involved in the development of plans and recommendations for that area.
Community development initiative (CDI)	Facilitation and mobilisation of a community through an external agency to address local needs and enhancing local assets (strengths and resources) to achieve personal, relational and collective well-being.
Empowerment	Building and demonstrating capacity to advance community plans through organisational development, community research, leadership development, partnership building, and planning for improved services and development projects. The process of building community partnerships and strengthening relationships and capacities requires engagement of a broad cross-section of community stakeholders in these activities, thereby establishing shared ownership.
Enabling framework	A legal, regulatory or institutional framework which makes certain activities possible through removing obstacles to initiating those activities, or providing support for those activities. An enabling framework does not oblige anyone to perform specific actions or prescribe the details of how activities must be performed, but rather creates a supportive space in which activities can be initiated.
Food security	Food security exists when everyone has access to sufficient, nutritious and safe food at all times, which implies that food must be available and that people must have the means to access it.
Linkage (urban-rural/rural-urban)	The structural and social relationships maintained between individuals in the urban environment and those in rural areas; a factor or relationship that connects or ties one thing to another; a cause-effect relationship.
Livelihood	A means of supporting one's existence, through vocation, finance, subsistence, etc.

Localism	A strategy aimed at devolving power and resources from central to local control, within an agreed framework of national minimum standards and policy priorities. This movement began to gain prominence from the 1970s onwards and comprises elements of democracy, social and economic well-being, the relationship between citizen and state, and how public services are delivered.
Mandala	Schematised representation of the integration of different parts into a whole.
Micro-development	Focussed development on the most effective utilisation of an area's ecological, human and organisational resources with the purpose of supplying in the basic needs of the community of that area.
New Urbanism	An urban design movement focussed on the process of reintegrating the components of housing, workplace, shopping and recreation into walkable neighbourhoods, mixed-use and transit-oriented development, set in a larger regional and open space framework, and design practices common prior to the rise of the automobile in the 1930s.
Paradigm	A framework containing the basic assumptions, ways of thinking, and methodology that are common to a specific concept.
Peri-urban area	Transition or interaction zone, placed along an uneven continuum, where urban and rural activities are distinguished based upon demographics (i.e. population size and density), economy (i.e. primary economic activities) and the social-psychological component (i.e. consciousness of what "urban" means).
Predominantly rural area	An area where the predominant characteristics are those of communities located in a rural area.
Regional planning	The science of efficient placement of infrastructure and zoning for the sustainable growth of a region, addressing region-wide environmental, social, and economic issues which necessarily require a regional focus.
Rural area	An area where a community's livelihood primarily depends on natural capital.
Rural development	The multi- dimensional and encompassing improved provision of services, enhanced opportunities for income generation and local economic development; improved physical infrastructure, social cohesion and physical security within rural communities, active representation in local political processes, and effective provision for the vulnerable.

Rural survival strategies	Any combination of activities such as cultivation, herding, hunting, gathering, reciprocal or wage labour, trading and hawking, artisanal work (i.e. weaving) processing, providing services in transport, fetching and carrying, begging and theft. It includes migration practices as an important way to increase or diversify income and/or to ensure access to assets.
Smart Growth	Smart growth focuses on the long-term implications of growth and how it may affect the community, instead of viewing growth as an end in itself. It is designed to create liveable cities, promote economic development, and protect open spaces, environmentally sensitive areas, and agricultural lands.
Sustainable development	Development that maintains or enhances economic opportunity and community well-being while protecting and restoring the natural environment upon which people and economies depend. Sustainable development meets the needs of the present without compromising the ability of future generations to meet their own needs
Sustainable rural livelihood	A rural livelihood that can cope with and recover from stress and shocks; maintains or enhances its capabilities and assets (tangible and intangible); provides sustainable livelihood opportunities for the current and next generation; and contributes net benefits to other livelihoods at the local and global levels in the short and long term.
Thriving	The attributes or amenities that combine to enable a community a good quality of life, for instance the availability of political, educational, and social support systems; good relations among its members; a healthy physical environment; and economic opportunities for individuals and businesses.
Traditional community environment	The characteristics (constructed and natural landmarks, social and economic surroundings) of a community that make it readily recognizable as being unique and different from its surroundings and that provide a feeling of belonging to or being identified with that particular place.
Two-tier system	Outside of metros, municipalities fall under both district and local. This dual structure is what is called the two-tier system.
Social network	A social structure made up of nodes or clusters (which are generally individuals or organizations) that are tied or connected by one or more specific types of interdependency, such as values, visions, ideas, financial exchange, friends, kinship, dislike, conflict, trade, or web links. These nodes or clusters may be reinforced by overlapping interests, geographic proximity (villages, towns, etc.), or common history.
Ubuntu	Interdependence within a community; being a person through other persons.

Urban-rural continuum	A continuum of settlements, linked by various influences and processes, that is variable in nature and does not exhibit a linear transition between urban and rural characteristics.
Village agrosystem	A village generated by its own territory and regenerated by its bioregion, dominated by agricultural land use in a shared landscape; dependent on the environment and the use of diverse environmental resources by the villagers.
Village IDP	A public document that provides specific proposals for current and future land uses, developments, and public improvements in a given community within a region.
Walkability	The measure of the overall walking conditions in an area, also the extent to which the built environment is friendly to pedestrians. Increased walkability has been proven to have individual and community health benefits as well as economic

PART 1 RESEARCH DESIGN

CHAPTER 1 INTRODUCTION

The purpose of this introductory chapter is to describe the rationale, context and relevance of the study. It also aims to define the problem, research objectives and hypothesis necessary to proceed with this study, as well as to delineate the methodology employed to answer the questions posed and to make scientific progress. Finally, it details how validity is dealt with in the study, illustrates the structure of the thesis and describes the ethical framework that informs the study. The sections of the chapter relating to these matters are illustrated in Figure 1-1:

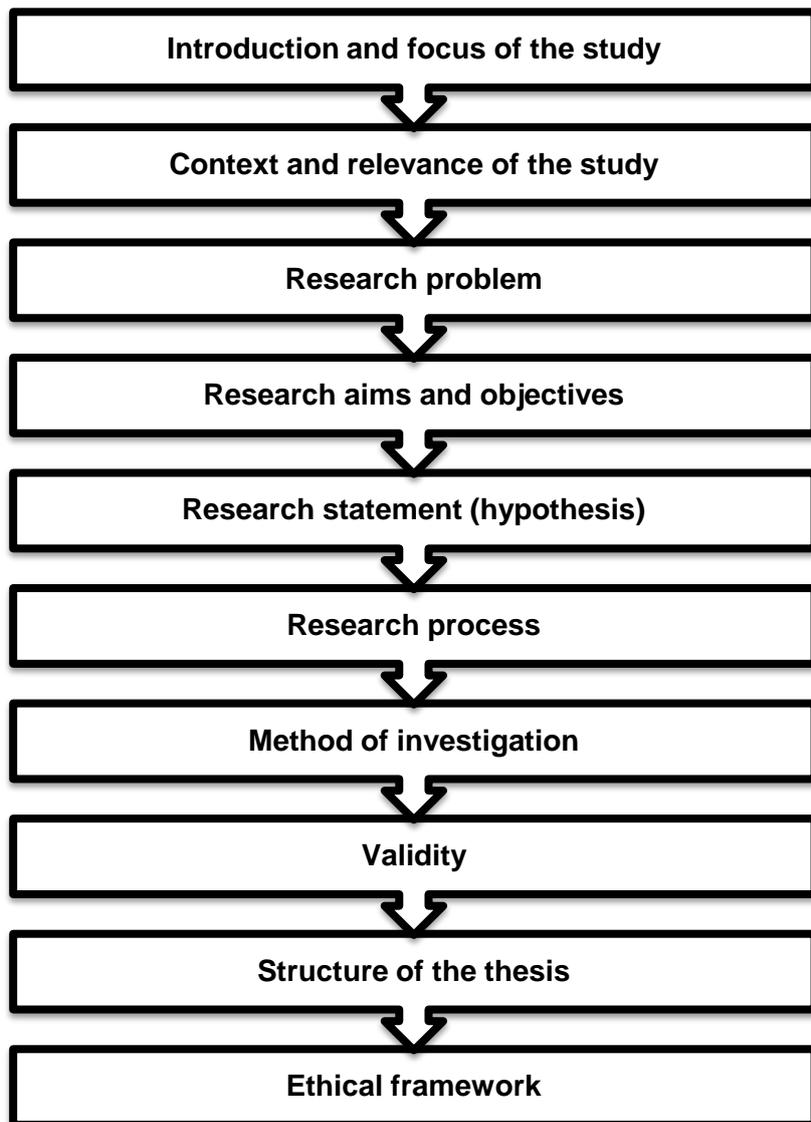


Figure 1-1: Chapter sections

1.1 Introduction and focus of the study

One of the most pressing and critical challenges that South Africa faces today is the impoverishment experienced by communities in predominantly rural areas, specifically the poorer and more vulnerable segments of the population. Women in particular bear the brunt of poverty in these areas (Government of National Unity, 1995). The difficulties that these communities face are numerous (South Africa. Department of Rural Development and Land

Reform, 2010) and include, amongst other things, the loss of essential natural resources, food insecurity, a lack of economic opportunity, the unmet need for social services, poor education, geographic isolation, decay of the social fabric (child-headed households, crime, lack of *ubuntu*), unresolved restitution and land tenure issues, and poor infrastructure (Powell, 2012).

Although continuous efforts are made by various institutions and organisations to address these challenges, the deprivation suffered by these communities seems greater than ever. A baseline study released in 2011 by the North-West University (Coetzee & Du Toit, 2011a:54) asserts that in the North-West Province (a predominantly rural province), many households still do not have access to basic human necessities (e.g. they are not on the services grid), circumstances which is also prevalent in most of the other predominantly rural areas in South Africa. This also applies to basic infrastructure such as proper roads and sewerage systems.

The purpose of this study is to offer planning considerations and proposals suited specifically to the indigenous African context, to support the development of sustainable rural livelihoods. It is predicated *inter alia* on the concepts of the sustainable rural development, the contribution of cultural precepts together with the spirit of community traditions to sustainable rural livelihoods, planning for sustainable rural livelihoods and the spatial dimension of rural livelihoods. The intention of these planning proposals and considerations is to foster the ability of communities in predominantly rural areas to survive and thrive in a dignified manner and to assist these communities to meet the pressures of urban growth, the deteriorating quality of life, and the homogenisation of settlement form and design in the developing world.

To understand the particular deprivations that the South African rural population face and the best means to address it in sustainable rural livelihood development, it is necessary to have a conception of the local context and the diversity of livelihoods within these contexts. The significance of local context is highlighted by Chambers and Conway (1992:21), who developed their sustainable livelihoods framework in a large part to emphasise the diversity of local context, specifically in rural areas. It is also the argument of the National Development Plan (2012:264) that the rational approach to develop rural areas requires an acceptance of the reality of rural differentiation. It is particularly necessary to understand the reality of the traditional community environment context in the predominantly rural areas of the South Africa.

Integral to the development of sustainable rural livelihoods in the complex rural space of South Africa, is the requirement of community-based planning. This study asserts that the implementation of community-based planning in South Africa should continue to evolve beyond planning *for* a community to planning *by* a community for itself (an approach widely supported, as will be shown later in the study). The concept of community-based planning in South Africa has already been established through the Integrated Development Planning (IDP) process on

local government level. However, the application of this approach on a micro-scale (for instance, at village level) as a sustainable rural livelihood development strategy, and utilising it to augment local municipal-level IDPs, has not yet been explored. It is the contention of this study that in using community-based planning at micro-level, it will be possible for rural communities to become the subject, not the object, of development studies.

This study also endeavours to place specific emphasis on the integral part of women in developing rural livelihood approaches. Despite the pivotal role of women in survival strategies of rural communities (especially the poorest segments of the population), they still have unequal access to the resources necessary to support them in this effort. According to the Department of Human Settlements (2009:3), women form the majority of the rural population and female-headed households are particularly disadvantaged. Basic social services (i.e. food, water, shelter, energy, transport, etc.) are comparatively more expensive for the poor (especially women) and the poorest households have to contend with illiteracy, difficulty in obtaining water, fuel and other services, and limited opportunities. It is therefore of critical importance that women in the predominantly rural areas of South Africa should be the focus of empowerment initiatives in sustainable rural livelihood development.

The envisaged outcome of this process, namely sustainable rural livelihood development, is rendered in terms of a rural livelihood development paradigm, with the purpose of engendering rural livelihoods with the characteristics of resilient ecosystems, empowered communities and economic wellbeing. This rationale for the study is set out in Figure 1-2.

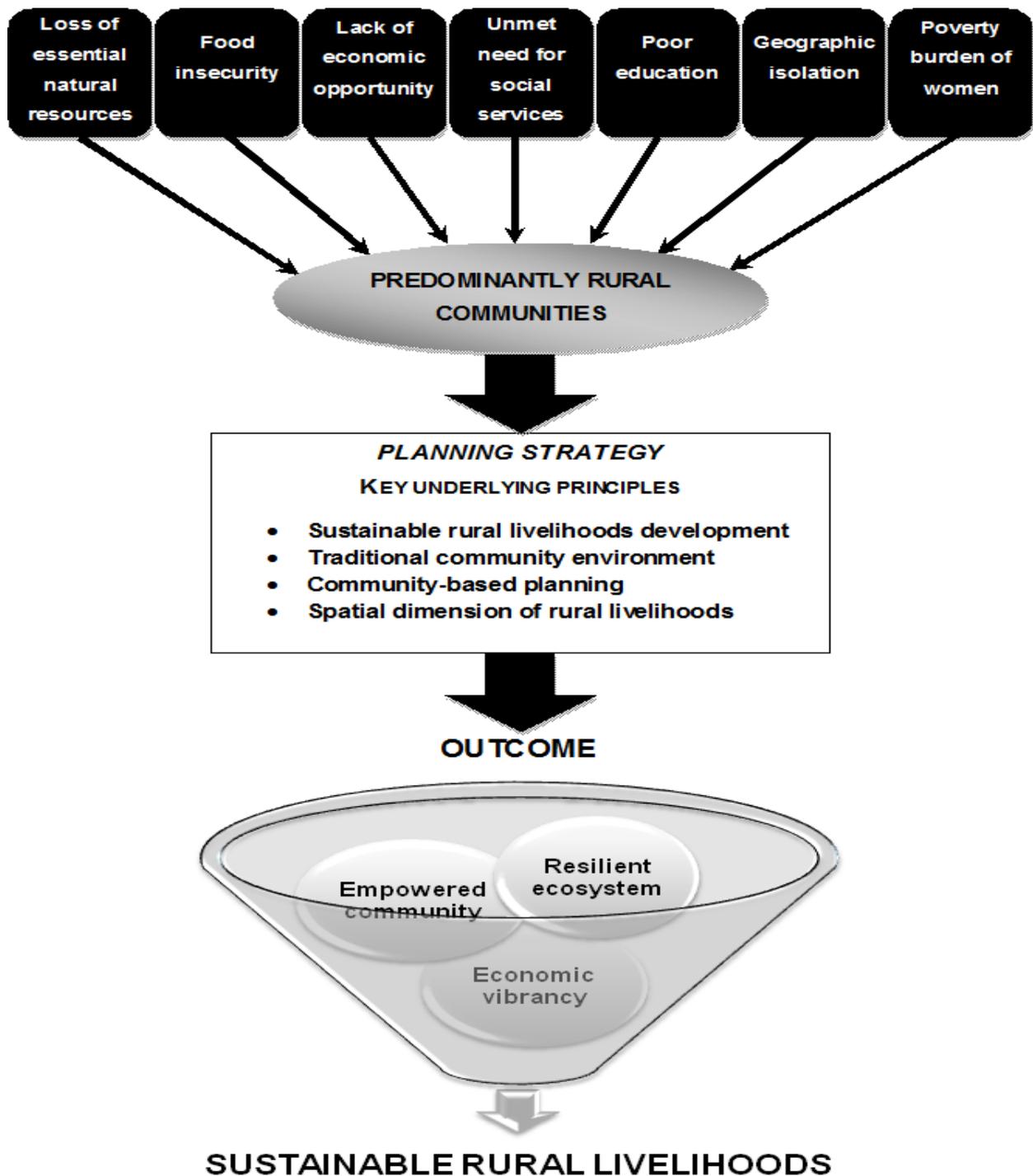


Figure 1-2: Rationale for the study

Source: Own construction (2015).

1.2 Context and relevance of the study

The topic of this study is particularly relevant in South Africa today because planning instruments (such as the Integrated Development Planning process) are in most cases still not having the desired impact on development in local communities. The purpose of these planning instruments (which have emerged from the “communicative action” approach to planning as

found in the work of Jürgen Habermas (1981)) is to address the complex environmental reality that the communities in the rural areas of South Africa face. Issues that need addressing include the considerable housing and infrastructure needs, disparate urban and rural land use configurations, transport constraints, environmental degradation and food insecurity (National Development Plan 2030 (2012:459)). Planning instruments such as the IDP proposes to be a mutually beneficial relationship and social-learning and capacity-building endeavour (Davids, et al., 2009:136) between government and community, but it is often neither understood by the concerned stakeholders nor properly implemented. Continuous demonstrations of protest in communities towards their local municipalities regarding the lack of service provision, particularly in 2004 and 2012 (Slabbert, 2004:2; Mafela, 2006; Jain, 2010:2; Municipal IQ, 2012; United Nations Human Settlements Programme (UN-Habitat), 2014:245), serves as evidence.

This disparity in the relationship between government and communities is also recognised at national government level, as is apparent in a speech at the University of Johannesburg by the Deputy Minister of Cooperative Governance and Traditional Affairs, Yunus Carrim. In it he states that community protests about service delivery and numerous other matters exhibit these disagreements glaringly (2011). Particular cases demonstrating the lack of implementation of the vision of planning instruments have also been examined by various authors. One such author, Bank, declares that he is appalled by the lack of foresight and ingenuity on the part of local planners who envisioned the urban renewal in Duncan Village (East London), and the inertia and corruption of the system of local government that has failed to transform real opportunity into meaningful changes in people's lives (2011:234).

Within the international context the current world economic trend of “globalisation” has particular relevance for this study. Freund considers “globalisation” to carry with it a threat of the marginalisation of Africa (including South Africa), which makes the management of cities and environments (including the predominantly rural areas) that work effectively for their inhabitants particularly bleak scenarios (2007:142). The consequence of overwhelming rural poverty in rural Africa, furthermore, is to force many people, especially the unskilled and the landless, to seek employment in the larger cities. Lack of successful land reform, the hope and often the reality of better chances for work and income in the city and improved transport (to the city) encourage this movement (Carley, 2001:6).

Once in the city, however, symptoms such as inefficient transport systems, chaotic land tenure policies, poor access to remunerative, structured employment and the lack of public spaces that give the citizens of a city a sense of belonging and pride (usually the result of uncontrolled settlements spread) threaten to overwhelm the functional urbanism inherited from colonial times when shack building was largely held in check (Freund, 2007:142, 150). In the process, unplanned growth, where huge tracts of land are consumed for low-density living, is limiting

efforts at place-based urban development. For non-urban places the impact brings “diminishing returns” such as increased traffic, degradation of the environment, and other effects layered on places with limited infrastructure (Anglin, 2011:xix).

Development approaches that endeavour to address the complex reality as described above need to base their approaches on a better understanding of the actual form of rural settlement which have emerged within these broad parameters, otherwise they will not succeed. As Bless *et al.* (2013:102) state, it is not difficult to find well-intentioned community development projects in Africa which have failed to deliver, whether the projects be housing development, job creation, safety and security, healthcare or any number of others. Satterthwaite and Tacoli (2002:65) concur, stating that the projects and programmes of governments and international agencies are planned with relatively little knowledge of local contexts and what these imply for the best means to address poverty.

This study proposes that instead of adapting imported normative models for planning in South African circumstances, it is necessary to develop responses which are embedded within the real political, economic, social and cultural character of Africa (Davids, *et al.*, 2009: 110). South Africa (and Africa) still has the opportunity to adopt long-term sustainability goals for social, environmental and economic development in an African planning paradigm that can better serve its needs than exotic models (United Nations Human Settlements Programme (UN-Habitat), 2014:3). This requires innovative thinking that transcends the current disciplinary boundaries of urban and regional studies to create a suitable development approach and include sustainable solutions, vulnerability reduction and technological innovation. This approach also needs to be practicable at local level to develop a collective understanding of “perceptions of the possible” (Jenkins, 2009a:105).

This study intends to contribute to a better contextual understanding of the environment in which rural development planning takes place in South Africa, as well as to suggest planning considerations and proposals that can contribute to the development of sustainable rural livelihoods. Incorporating the sustainable development ideology, traditional African community environment context, community-based development approaches such as those used in urban and regional (territorial) planning today and consideration of the spatial complexity of rural South Africa, through the use of social science research methods, should contribute significantly to our understanding of how to successfully advance sustainable rural livelihood development in South Africa.

1.3 Research question

As stated in the introduction of this study, the current approach to development planning in South Africa is in many cases still not having the desired effect of addressing sustainable rural livelihood development. It is the contention of this study that this may be attributed to a lack of contextual understanding of what sustainable rural livelihood development entails and an inapt application of community-based planning in predominantly rural areas of South Africa. Consequently, the research question for this thesis is framed as follows:

Can a contextual understanding of sustainable rural livelihood development in South Africa (inclusive of a traditional community environment understanding), in conjunction with community-based development planning approaches, such as those currently advanced in urban and regional (territorial) planning, be used to improve our understanding of effective sustainable rural livelihood development in the predominantly rural areas of South Africa?

1.4 Research problems

The research question for this study has been articulated in the previous section, and in endeavouring to address this question the following specific research problems are put forward:

- *How can the meaning of sustainable rural livelihood development and planning be contextualised in the South African milieu?*
- *What contribution does the African traditional community environment have in augmenting an indigenous planning approach for sustainable rural livelihood development?*
- *What is the relevance and applicability of community-based planning for the development of sustainable rural livelihoods in the predominantly rural areas of South Africa?*
- *What are the requirements of an indigenous approach to support sustainable rural livelihood development for predominantly rural areas in South Africa?*
- *Does a policy and legal framework for the support of sustainable rural livelihood development exist for South Africa?*

1.5 Research statement (hypothesis)

The research statement (hypothesis) for this study has been formulated with the purpose to effectively investigating the research problem and the aims and objectives as set out in the preceding discussion, and it can be summarised as follows:

A contextual understanding of sustainable rural livelihood development in South Africa (inclusive of a traditional community environment understanding), in conjunction with current community-based development planning approaches, can be used to inform certain planning considerations and proposals to support indigenous sustainable rural livelihood development in the predominantly rural areas of South Africa.

1.6 Research process

The research process applied in this study is inductive and proceeds through iterations: initial speculation, assumptions and background perspectives; weakly focused initial observations of instances; developing theory and conceptual density; and better focused later observations of instances (Terre Blanche & Durrheim, 2006: 8). The most important feature of this process is its cyclical nature (which is more accurately conceived of as a helix or spiral), in that exploring one area, one comes across additional problems that need resolving (Leedy, 1989: 9). Other authors that acknowledge the cyclical nature of the research process are Noffke & Somekh (2011), Dafinoiu and Lungu (2003), Robson (2002), etc. Figure 1-3 can be used to illustrate the cyclical/helical quality of the research process.

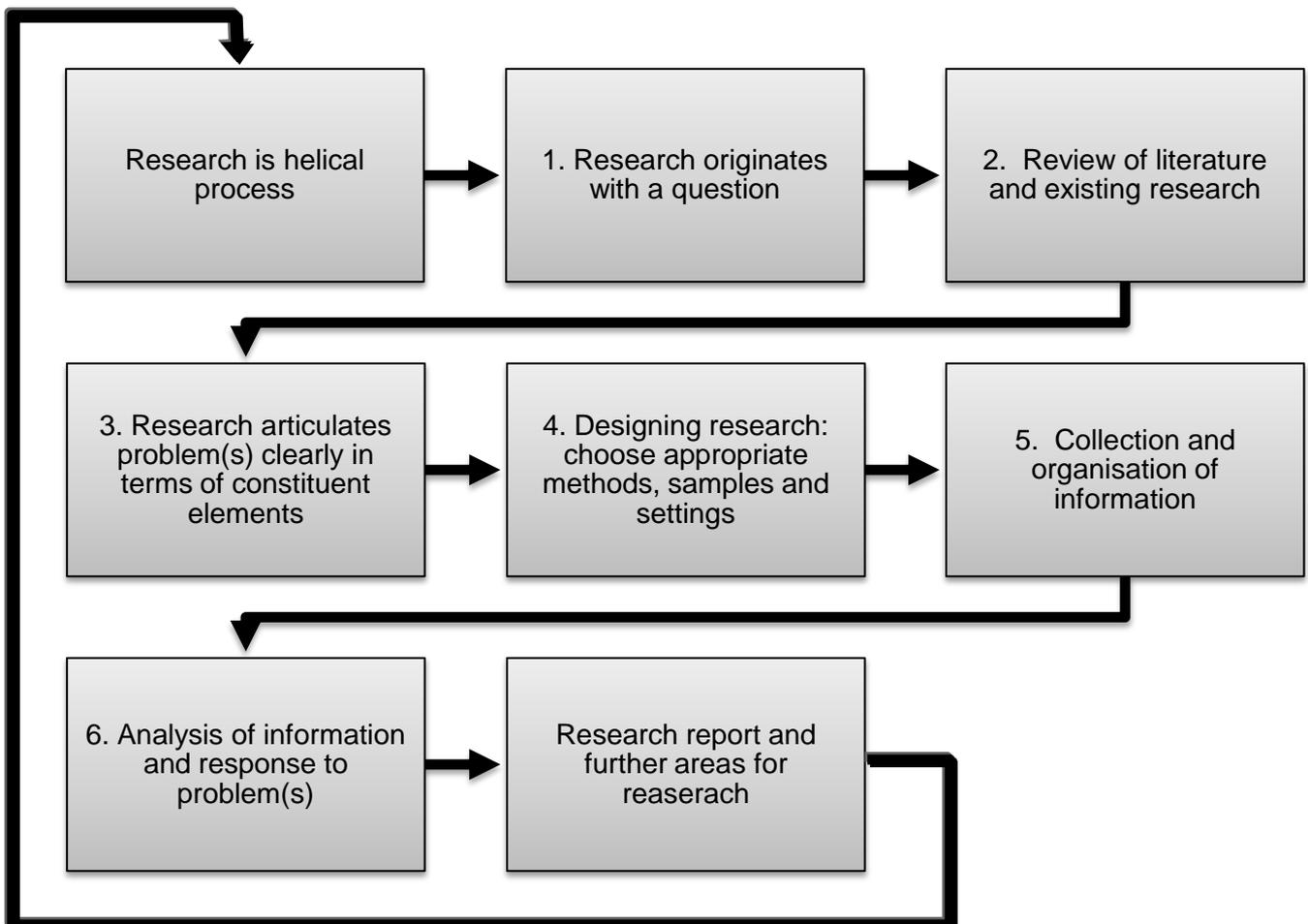


Figure 1-3: Diagram of research process

Source: Own construction (2015).

1.7 Method of investigation

This section will briefly consider what elements constitute research methods in general and then turn to the particular research methods applied in this study. Research methods are core to scientific study and, as May affirms (2011: 1), they provide a means through which intellectual development and an understanding of phenomena are gained. More specifically, research methods focus on the research process and the specific tools and procedures to be used to gather data (Mouton, 2001:56). Before data can be gathered for the research process, however, it is necessary to understand the nature of data (or information) itself. According to Leedy (1989:88-89), data (or information) collected for research purposes consists primarily of writings (historical, literary or critical data) and observations (normative/descriptive data, analytical survey/statistical data or experimental data). In Figure 1-4 the nature of data is illustrated in terms of its relation to primary and existing information.

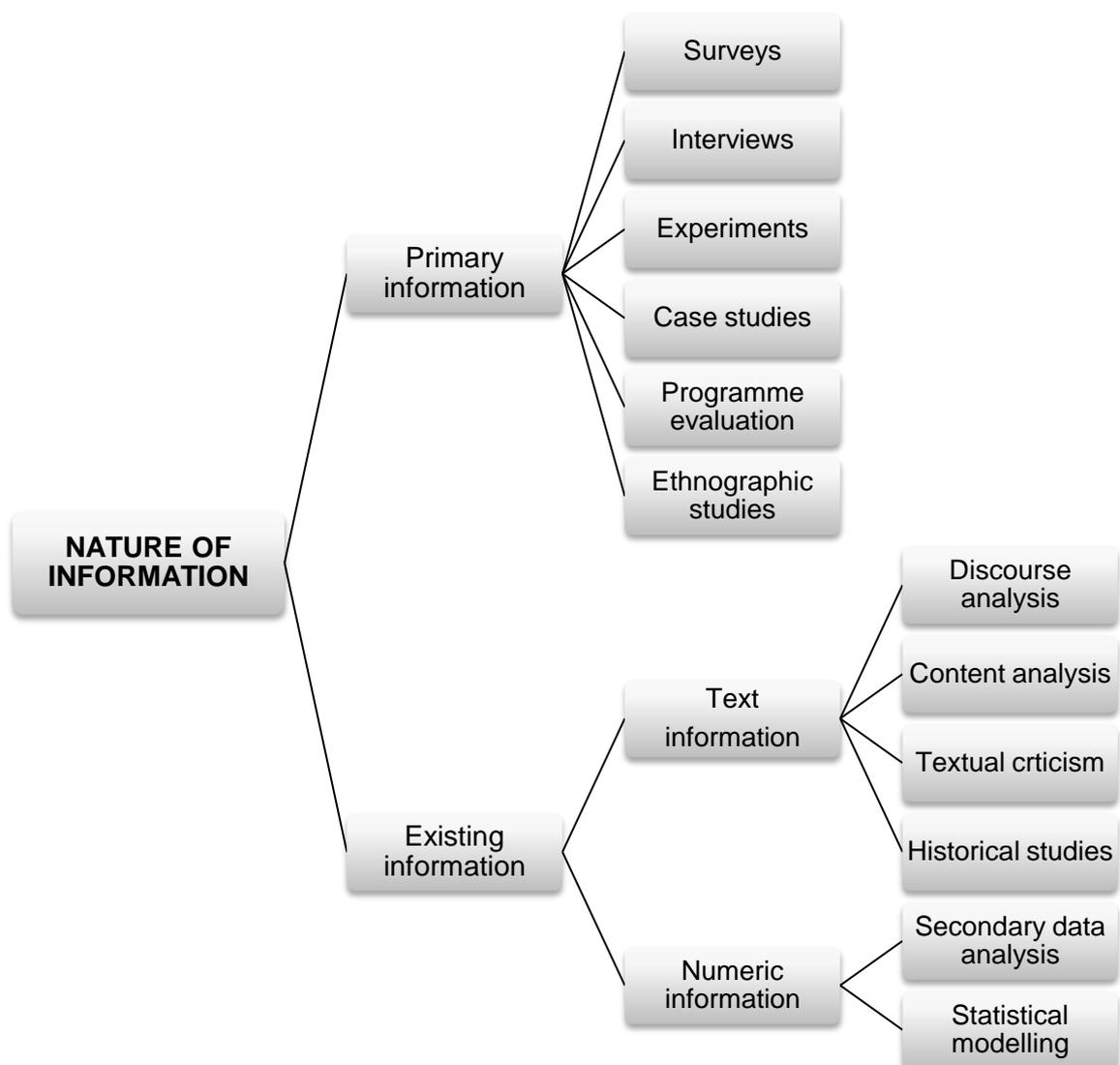


Figure 1-4: Nature of information

Source: Own construction (2015).

Once there is an understanding of the different sources of information or data, it is possible to determine the research methods by which it may be obtained. There are numerous methods that can be employed in the research process, each reflecting the nature of the data or information to be obtained. It is important to keep in mind that not all sources are relevant for all studies (Yin, 1994:97) and that each set of circumstances will present different opportunities for data collection. Most data collection methods are listed below in Table 1-1:

Table 1-1: Methods of obtaining data

• Case study.	• Clinical testing.	• Delphi technique.
• Ethnography.	• Experimental research.	• Experimental vs. control group.
• Interviews.	• Focus group interviews.	• Phone interviews.
• In-depth interviews.	• Literature review.	• Mathematical modelling.
• Nominal group technique.	• Physical modelling.	• Prototyping.
• Observation.	• Questionnaires.	• Reviews of records.
• Site visits.	• Survey.	• System log data.

Source: Lues & Lategan (2006:19- 21).

In determining the nature of the information required for this specific study, it is necessary to equate the research statement to a specific research type, either descriptive and explanatory research; applied and basic research; or quantitative or qualitative research (Durrheim, 2006:44). To reiterate, the research statement for this study specifies that its purpose is to define a certain conceptual framework within which planning considerations and proposals can be recommended in support of sustainable livelihood development in the predominantly rural areas of South Africa. Interpreting this statement in terms of research types, it can be concluded that the study can be deemed to be exploratory research. It corresponds to the understanding that Bless *et al.* (2013:60) provide of exploratory research, namely that the purpose thereof is to gain a broad understanding of a particular phenomenon occurring in a community in order to formulate more searching research questions or hypotheses.

The nature of the data required for this type of study falls within the ambit of social research, for which the principal techniques of obtaining data include the administration of questionnaires, interviewing, participant observation, documentary research, case studies and comparative research (May, 2011:3). Of these methods, those of literature review, semi-structured interviews with key informants and the analysis and synthesis of the information obtained have been chosen to gain new insights.

1.7.1 Literature review

The purpose of the literature review is to contextualise the setting for the research problem, as well as to provide the conceptual underpinnings for the considerations and proposals presented as a result of this study. According to Kaniki (2006:20) several types of literature reviews can be identified, namely: historical (the chronological development of the literature), thematic (which is structured around different perspectives, focussing on debates between different “schools of thought”), theoretical (dealing with theoretical evolution and supported by empirical evidence) and empirical reviews (summarising empirical findings based on the different methodologies used). In general the literature review in this study, as per Ridley (2008, pp. 16-17), proposed to:

- Provide a historical background for the research.
- Give an overview of the current context in which the research is situated.
- Provide a discussion of relevant theories and concepts which underpin the research.
- Introduce relevant terminology and provide definitions to clarify how terms are being used in the context of the study.
- Describe associated research in the field and how the study relates thereto.
- Provide supporting evidence for the research question.

In this study, the literature review focussed on the key concepts used for supporting the development of sustainable rural livelihoods, namely sustainable (livelihood) development, traditional community environment, community-based planning and the spatial scaling of rural development. In this regard the works of Jürgen Habermas (1981 and 1989) and Nel & Hill (primarily on community-based planning), that of Munasinge (“sustainanomics”), the proponents of New Urbanism, Edward Goldsmith’s *Blueprint for Survival*, Alberto Magnaghi’s *Territorialism* and the writings of De Liefde and Mbigi regarding the traditional community environment provided valuable insights. The study endeavoured to limit the literature survey to those texts that had relevance to the research of this study and, throughout, an effort was made to fuse these ideas with the ideas of this author, aspiring to add some value to their findings.

1.7.2 Semi-structured interviews

Using interviews as a research method can result in both the collection of data as well as the generation thereof (Byrne, 2012:208), particularly in qualitative interviews. Often, the data constructed as a result of the interaction between researcher and interviewee during a qualitative interview leads to the credence of the researcher as a co-producer of data. This approach motivates the choice of semi-structured qualitative interviews with informed individuals to augment and test the literature review described earlier, whereupon a conceptual framework

for the support of sustainable rural livelihoods in the predominantly rural areas of South Africa is to be developed. One difficulty with exploratory research and nature of qualitative interviews, however, is that they can place certain constraints on sample size. According to Terre Blanche *et al.* (2006:289) due to the characteristics of exploratory studies, a sample size of between 10 and 20 participants can reasonably be expected. In an effort to comply with this requirement, a sample size of at least 15 informed and specialist interviewees was held in mind as an aim to strive for.

Particulars of the semi-structured interview method that was used in this study, can be described as follows:

- Identification of key informants, based upon the sectors within which they work, skills and experience in contributing to the research from an empirical viewpoint, good communicative skills, openness, and interest in participating.
- Contacting the identified interviewees by phone and e-mail to determine their willingness to participate.
- Arranging interviews with key informants who agreed to participate, at a place convenient to the key informant.
- Conducting and recording the semi-structured interviews with the use of a questionnaire.
- Analysing the interview results in terms of the preceding literature review and making use of a graphic presentation of information, where necessary.

1.7.3 Analysis

As stated above, the research process followed in this study was inductive and proceeded through iterations: initial speculation, assumptions and background perspectives; weakly focused initial observations of instances; developing theory and conceptual density; and better focused later observations of instances (Terre Blanche & Durrheim, 2006:8). This approach requires the intermittent analysis of the data throughout the study, specifically concerning the information gathered and created through the qualitative interview process, where it is difficult to separate the data collection and analysis phases of an enquiry. The qualitative researcher has to continually employ reflexivity and evaluative skills to data analysis and to the decisions concerning the direction of the next step in the study. This research process is akin to that of action research, which has its origins in social struggles and highlights the invaluable contribution of local knowledge (comparable to the information provided by key informants in this study) and knowledge production. To demonstrate the manner in which analysis is conducted in action research, Noffke & Somekh (2011:95) describe Kurt Lewin's theory of action research. Lewin's theory divides the research into distinct stages within a series of cycles, starting with "reconnaissance" and moving on to the collection of data, analysis and the

development of “hypotheses” to inform action. This then leads into the second cycle in which the hypotheses are tested in practice and the changes are evaluated. The cyclical process of action research does not come to a natural conclusion, although at some point it is necessary to bring it to a close and disseminate the outcomes in some form. This emphasis on the cyclical construction of the research process (as applied in this study) focuses on research from inside a specific social context and emphasises the inter-relationship between practice and theory.

1.8 Validity

When designing a research framework, it is necessary to consider the validity or trustworthiness of the study at all times, so as to ensure a legitimate study. However, Seale (2012:529) states that discussions pertaining to validity, reliability and repeatability are based upon the objective, value-free assumptions of the realist tradition and that if research knowledge itself is treated as a social construction, it is hard to sustain a commitment to realism and objectivity. Other criteria must then be used to judge the quality or value of a research study.

Many qualitative researchers argue that social phenomena are context dependant and as such validity is defined by the degree to which the researcher produces observations that are believable for the researcher, the subjects being studied, and the eventual readers of the study (Durrheim, 2006:51). Furthermore, Warwick states that human reality must be apprehended from a variety of viewpoints, not by one alone, because this very reality is always in part a construct, and only by encouraging difference in perspective and approach can one obtain the needed richness of imagery and, consequently, theory (1983:275). In this study, the purpose is to benefit the marginalised communities in the predominantly rural areas of South Africa, relying on indigenous principles with regard to the “sacredness of space and place” (Four Arrows (AKA Don Trent Jacobs), 2008:5). As such, the “validity” or quality of this study is preferably to be judged according to whether it succeeds in giving a voice to particular social groups whose perspective has been obscured from general knowledge.

1.9 Structure of the thesis

The structure of the thesis is in general based on that recommended by Robson (2002). That is, it works through a statement of how the study came about, a description of the analysis, a contextualisation the study (in terms of the concepts outlined in the introduction), and a description the basic data collected, and arrives at a conclusion which presents the broad meaning of the study in the world of ideas and action it affects.

This study therefore includes a statement of the research problem, the establishment of the research objectives, a definition of the research hypothesis based upon the definition of the problem and the research objectives, the determination and description of the research

methods and methodology, a literature review to provide context for the current realities, theories, issues and challenges related to the research problem, an empirical investigation with the use of semi-structured interviews to supplement the literature review, an analysis and interpretation of the research data augmented by insights derived from the literature review, a validation and / or negation of the information thus obtained, the amalgamation of the new and existing information, the drawing of conclusions from the outcome of the analysis and synthesis, and finally the making of recommendations pertaining to planning considerations and proposals based upon the research conducted. A diagram of how the thesis is structured is provided in Figure 1-5:

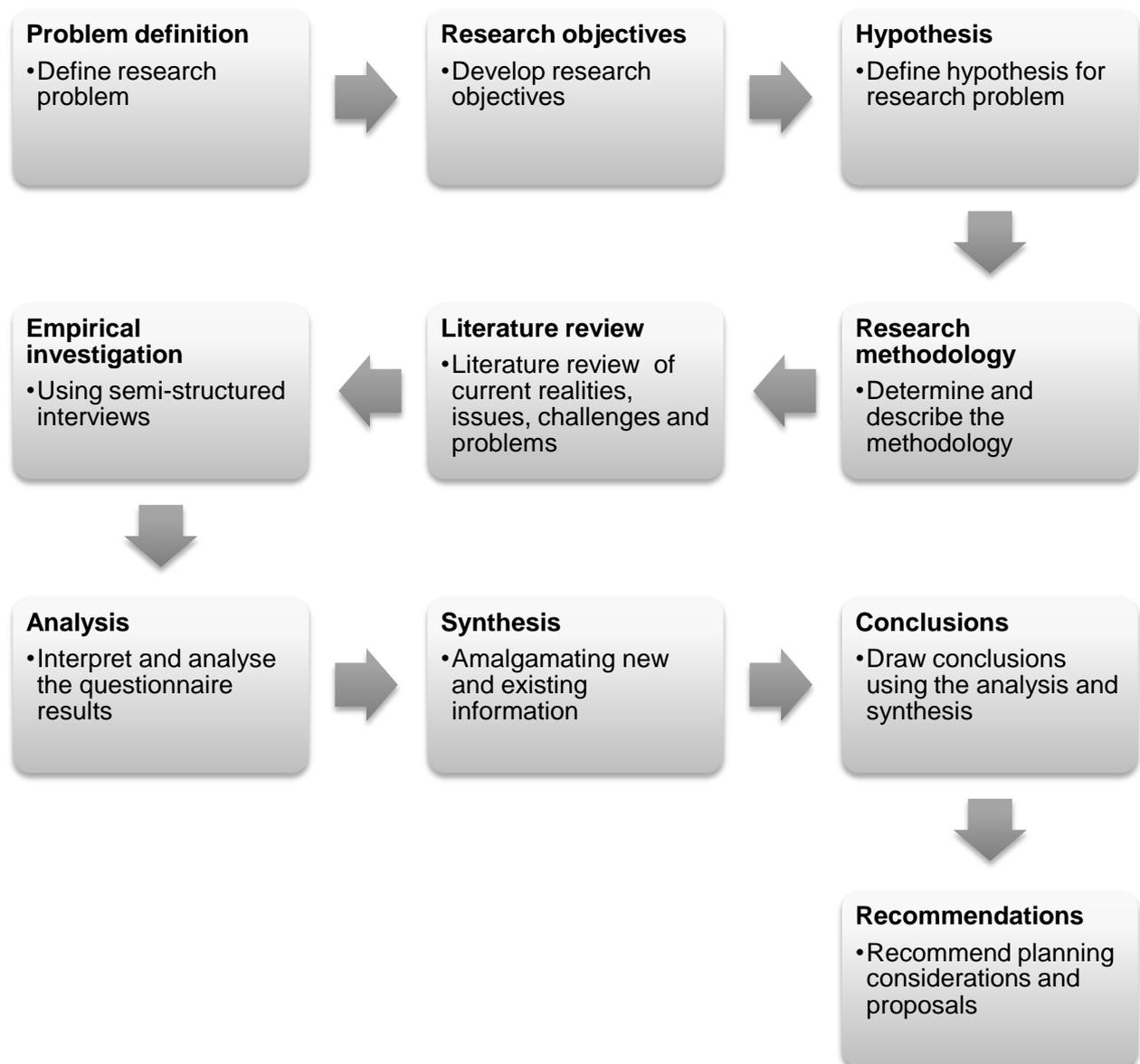


Figure 1-5: Structure of thesis

Source: Own construction (2015).

It should be noted, however, that the research conducted in this study is but part of an ongoing practice beyond its completion (echoing the stance of Drake & Heath (2011:100)) and that the written thesis exemplifies an endeavour of professional reflection-in-action.

1.10 Ethical framework

According to Wassenaar (2006:63), research ethics should be a fundamental concern of all social science researchers when planning, designing, implementing and reporting research with human participants. Supporting the implementation of research ethics, researchers compile ethical frameworks to assist them in anticipating ethical issues that may arise from their research before the project begins (Roberts, 2007:55). Subsequently, when research commences, this ethical framework determines the particular context for statements and also directs the researcher's demeanour in complicated ethical situations. The history of ethical principles informing scientific practice can be traced to the medical ethics enshrined in the Hippocratic Oath (written in approximately the fifth century BC), where the first instance of the principle of non-maleficence (or 'do no harm') can be found (Drake & Heath, 2011:48).

In recent history ethical approaches have been derived from the Nuremberg Code (1949), an approach developed for use in the extremely sensitive Nuremberg Trials, where it was used as a means of assessing whether experimentation on people was or had been ethically justified (Hesse-Biber & Leavy, 2011:61). These modern ethical approaches in essence consider three questions, namely: is the researcher careful in research and honest in the reporting thereof; does the researcher comply with his/her responsibility to society; and does the researcher treat the participants with respect and protect them from harm (Singleton & Straits, 1999:513). Consequently it can be stated that ethical practice have evolved beyond the stance of "do no harm" to also include aspiring to "do good" (Piper & Simons, 2011:25). The principles underlying these questions are fairness, honesty, openness of intent, disclosure of methods, disclosure of the ends for which the research is executed, a respect for the integrity of the individual, the obligation of the researcher to guarantee unequivocally individual privacy, and an informed willingness on the part of the subject to participate voluntarily in the research activity (Leedy, 1989:95).

The first question regarding ethical research relates to the researcher in his/her individual capacity and concerns the care and honesty with which research is conducted (Singleton & Straits, 1999:513). Careful and honest research reflects the values and judgement that a researcher brings to the study, encompassing the academic, the professional and the personal (Drake & Heath, 2011:57). To create awareness of these values and judgements and to incorporate the principles of careful and honest research in an ethical framework for research,

the points highlighted by Piper and Simmons (2011:28) in Table 1-2 should be considered when compiling an ethical framework:

Table 1-2: Issues to consider when compiling an ethical framework

- Consider at the outset what ethical issues might arise and how these would be addressed.
- Be conscious of what kind of ethics you personally aspire to and what values you hold in relation to the research topic.
- Think through the ethical implication of the chosen methodology.
- Draw up a brief set of ethical procedures to guide data collection and dissemination (it will not be possible to encapsulate all the ethical dilemmas that may arise, but will demonstrate consideration for acting ethically in the field).
- Pilot any potential methodological tools to ensure questions are unobtrusive as well as culture, gender and age sensitive.
- Indicate how respect for persons will be maintained while making research knowledge public i.e. non-coercion, the potential benefit to participations, and the avoidance of potential harm.
- Act within legislation.
- Consider whether you as the researcher prefer to be guided by an ethical tradition that favours universal laws and principles, one that is more relational and situation specific, or one that is democratic in intent and/or participatory in process and outcome.

Source: Piper and Simmons (2011:28).

The second question of ethical research, which entails compliance with social responsibility (Singleton & Straits, 1999:513), concerns the ethical relationship of the researcher and society in general and the various ethical codes and practices that are in place at the university in particular (Drake & Heath, 2011:57). However, while the principles encompassed in honest and careful research provide a shared frame of reference and are useful to guide ethical decision-making, ethical practice depends on how the principles are interpreted and enacted in the precise social-political context of the research (Piper & Simons, 2011:27). Ethics in research is a situated practice, a result of a weighing up of numerous factors in specific complex social and political situations. It is necessary to understand that subjectivities and moral voices are made up from the cultural, social and historical settings in which research is conducted, and that ethical guidelines on their own cannot anticipate societal diversity in research studies (Drake & Heath, 2011:53). As a researcher in the field of planning practice, it is therefore necessary to develop an ethical perspective that is situated in and arises from the research in its unique and complex context.

The third question when developing an ethical framework concerns society in particular (i.e. the participants) and the researcher's conduct towards the participants (Singleton & Straits, 1999:513). Quantitative research does not usually require elucidation on matters such as

confidentiality, anonymity and the duty of care pertaining to participant involvement in data analysis (Miller, et al., 2008:127), whereas in qualitative studies it is critical to have a clear, ethical approach. Collaboration is never easy. Ethical issues need to be clearly identified and working principles agreed upon in advance to safeguard the interests of all (Noffke & Somekh, 2011:97). Participants in research may be concerned with how they appear in the report and whether their interests, individually or collectively, are affected by the study. Therefore the ethical framework should clarify key concepts associated with conducting ethical social science research, such as informed consent, confidentiality and anonymity, and pre-publication access (Piper & Simons, 2011:25). Furthermore, Lues & Lategan (2006:22) state that when interacting with participants, it is essential that the reasons for doing the research and what the outcomes may be, are discussed; that access is negotiated and effective use is made of such access; that something is offered back to the participants such as a report on the research; and that the researcher is clear about what is being asked of the participants (time/documents/resources). To ensure that participants are treated in a manner that is ethically accountable, it is therefore necessary to assure and ensure the confidentiality, privacy and safety of the participants; to provide sufficient information to guide participants' decision to participate, as well as their possible withdrawal at any time during the performance of the research; to ensure accuracy, sensitivity and safety with regard to the observation and recording of the data; and to ensure the delivery of any incentives for participation in the study.

In the light of the preceding discussion, it is clear that attempting honest and careful research that complies with social responsibility and treats participants in an ethical manner frequently results in a complex and context-dependent ethical framework. However, the central ethical issue is to balance the rights of participants and researchers with the potential benefits to society likely to arise from the performance of the research (Ali & Kelly, 2012:73). An ethical framework was constructed for this study, based upon the fundamental principles of the Social Research Association (2003:13-14) and illustrated in Figure 1-6.



Figure 1-6: Diagram of ethical framework

Source: Adapted from Social Research Association (2003:13-14).

CHAPTER 2 RESEARCH METHODOLOGY

While the previous chapter outlined the research process followed for this study, this chapter clarifies the research methodology or “framework” shaping the perspectives of this study. To this end, research methodology in general and the specific research methodology used in this study are discussed. The sections of the chapter are illustrated in Figure 2-1:

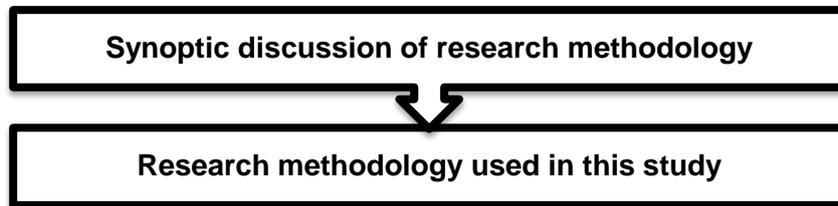


Figure 2-1: Chapter sections

2.1 Synoptic discussion of research methodologies

The purpose of research methodologies is to analyse the information (data) obtained through research methods in terms of an operational framework, so that the meaning thereof can be illuminated (Leedy, 1989:88). This aspect of social research is simultaneously the most difficult as well as the most interesting, according to Noffke & Somekh (2011:97). The choice of research methodologies is usually based on their compatibility with the nature of the information that has to be obtained in order to resolve the research question(s) posed. Two primary research categories are generally identified, corresponding with the characteristics of the data, as outlined earlier, namely quantitative research (empirical studies) and qualitative research (which is primarily based on literature studies, interpretative methods and subjective study methods). These research methodology categories and their constituent approaches are illustrated in Figure 2-2:



Figure 2-2: Research methodology categories

Source: Own construction (2015).

The established objective of **quantitative research** is to describe the world in objective terms. In essence this outcome is achieved through the production of numbers that indicate a position on a scale and the difference between the numbers records a difference in reality (Van Heerden, 1999:7). It focuses on causality based on statistical data, which is usually comprised of five sequential steps, namely deducing a hypothesis from a theory, expressing the hypothesis in operational terms which propose a relationship between two specific variables, testing this operational hypothesis, examining the specific outcome of the enquiry and, if necessary, modifying the theory in the light of the finding(s) (Robson, 2002:95). Applying this approach to social research, the world to be described is constituted by the social life of people. In describing this world, May (1998:8-14) identifies three approaches to accomplish this within quantitative research design, namely *positivism*, *empiricism* and *realism*.

Although *positivism* is a philosophy that is usually associated with the natural sciences, it can also be employed in social research (Hesse-Biber & Leavy, 2011:15). Positivism holds that social facts exist independently of people's perceptions and proposes to explain human behaviour in terms of cause and effect. "Data" are collected on the social environment and people's reactions to it (May, 1998:8-14). It relies on deductive logic and hypothesis testing, attempting to create evidence that will confirm or refute a theory (Hesse-Biber & Leavy, 2011:16). While positivism is theory-driven and the accuracy of the theory is tested against the data, *empiricism* is a perspective on research which does not refer explicitly to the theory guiding its data collection procedures but endeavours to let "the facts speak for themselves" (May, 1998:8-14). In contrast to positivism and empiricism, *realism* argues that the knowledge people have of their social world affects their behaviour and unlike the propositions of positivism and empiricism the social world does not simply "exist" independently of this knowledge. The task of social research, therefore, is not simply to collect observations on the social world, but to explain these within theoretical frameworks which examine the underlying mechanisms that inform people's actions (May, 1998:8-14).

While quantitative research methods are generally successful in increasing knowledge in the natural sciences, it cannot readily be used to gain knowledge of human experience and behaviour (Somekh & Lewin, 2011:285). Where quantitative research methods focus on the "objective" world, **qualitative research** methods concentrate on the meaning that people give to the world, i.e. the "experienced" world. May (1998:8-14) argues that qualitative research methodologies emphasise the creation of the social world through the realm of ideas, rather than material relations. Within the social research, Hesse-Biber & Leavy (2011:16) identify three different strands of research methodologies, namely the *post-positivist* strand, the *interpretive* strand and the *critical* strand.

Post-positivism evolved from positivism, a philosophy that usually supports quantitative research but can be employed in qualitative research too (Hesse-Biber & Leavy, 2011:15). Post-positivism relies on deductive logic, where researchers engage in measurement and hypothesis testing to create evidence in support of or against an existing theory (Denzin & Lincoln, 1998:26).

Interpretive approaches are associated with the hermeneutic tradition which pertains to the search for deep understanding, by interpreting meaning and focusing on subjective experience and small-scale interaction (Hesse-Biber & Leavy, 2011:17). They differ from the positivist and post-positivist paradigm in that the aims of the enquiry are focussed on the production of reconstructed understandings, wherein the traditional positivist criteria of internal and external validity are replaced by the terms trustworthiness and authenticity (Denzin & Lincoln, 1998:26). In other words, they concentrate more on individual experiences that may be similar to other experiences, than on generalising experiences by ensuring the internal and external validity of several experiences. Furthermore, interpretive approaches presuppose that meaning is constructed via the interaction between people or between people and objects. Therefore, meaning does not exist independent of the human interpretive process and knowledge is partial and contingent rather than valid and reliable (Somekh & Lewin, 2011:285). Researchers working in the interpretive tradition value experience and perspective as important sources of knowledge. Although different interpretive approaches developed within different specific disciplines, all are now also used in interdisciplinary contexts. These include symbolic interactionism, the Chicago School, dramaturgy, phenomenology, and ethno methodology (Hesse-Biber & Leavy, 2011:17).

Critical approaches suggest that we live in a power-laden context and have a social justice orientation (Hesse-Biber & Leavy, 2011:15). It looks at how power and hegemonic discourses shape experience and understanding. Like the post-positivism and interpretive approaches, these power-attentive approaches value experience, understanding, and subjectivity, but also critique these categories. In addition, they emphasise the significant relationship between social research and social change. Cox *et al.* (2008:2) declare that from a critical perspective, this relationship is not a linear relation but one which is intricate and ambivalent: social research seeks to understand social change but at the same time social change also influences and guides social research. This is also reflected in Roberts' view (2007:2) that researchers have begun to consider the self, power-relations and commitment when conducting research.

Critical approaches developed across disciplines (in multidisciplinary and interdisciplinary contexts) include postmodernism, post-structuralism, feminism, critical race theory, and queer theory. Postmodernism focuses on the prominence of a dominant ideology and the discourses of power that normalise that ideology to maintain a dominant world order – locally, nationally

and globally (Hesse-Biber & Leavy, 2011:21-22). Foucault (1975) explains that this power is maintained because “our ideas become the chains that bind us best” (Flyvbjerg, 1998b:185). The objective of postmodern scholarship is to transform oppressive power relations by accessing “subjugated knowledges” and creating partial truths that are situated in historical material reality. As May (2011:16) states, it recognises that there are no universal standards against which science may lay claim in order to validate its standards (objectivity), resulting in not only science but also concepts such as truth, goodness, justice, rationality etc. becoming relative to time and place. In this way, knowledge produced from a postmodern approach is grounded in ongoing historical processes and the power-knowledge relations in which it is enmeshed (Hesse-Biber & Leavy, 2011:21-22).

Post-structuralism is also concerned with challenging dominant ideology through an engaged research process, with particular focus on the structures that enable and constrain people. In this regard, authors such as Michel Foucault, Jacques Derrida and Anthony Giddens made significant contributions. Michel Foucault considered knowledge and power to be constructed within a set of social practices and questioned whether the concept of truth could be separated from the exercise of power (Somekh & Lewin, 2011:285). Concerning this matter, Jacques Derrida (1966) urged researchers to think about how knowledge is produced, using critical deconstruction to transform that which has been marginalised into the locus of investigation (Hesse-Biber & Leavy, 2011:22). This is especially relevant when considering Anthony Giddens’ (1982) understanding that relationship dynamics are constantly recreated through mutual exchange: “we are culturally made or socially constructed, and at the same time makers of cultures and social structures” (Healey, 1997:46).

A significant gap in research understanding that has become evident lately is the silence about the fundamental contributions to social and cultural life that neglected, disempowered or “voiceless” communities have (Eagle, et al., 2006:499). May (1998:19) states that the inclusion specifically of gender, class and race in research is necessary (as well as of other marginalised people) to lead to a better understanding of society. It becomes a stance which does not marginalise but promotes the cause of women and the marginalised in general (May, 1998:23). Comprehending the complexity of the human cosmos, as well as aspiring to “do good” (Piper & Simons, 2011:25), therefore not only needs but also requires the inclusion of standpoint research as research methodologies. When reflecting on standpoint research approaches, Bless *et al.* (2013:99) provide the following crucial perspectives:

- The capacity to create knowledge is an important form of social power that can be used for good or ill

- It is concerned with making the tools of knowledge creation available to ordinary people in society
- It depends on careful negotiation and planning, as well as critical reflection on the balance of power within relationships and communities
- It tends to be cyclical. Research leads to action, which leads to more research, and so on
- It is particularly important in developing countries with urgent social and community needs

In Table 2-1 the different approaches within the qualitative research methodologies are compared. These approaches are informed by particular understandings of *epistemology* (the nature of knowledge and truth), but also have elements of *axiology* (values) and *ontology* (being) (Somekh & Lewin, 2011:xix).

Table 2-1: Comparing the positivist, interpretive and critical approaches

	POSITIVISM	INTERPRETIVE	CRITICAL
Ontology	<ul style="list-style-type: none"> • Natural sciences • Stable external reality • Law-like 	<ul style="list-style-type: none"> • Disciplinary contexts • Internal reality of subjective observer 	<ul style="list-style-type: none"> • Interdisciplinary contexts • Socially constructed reality • Discourse and power
Epistemology	<ul style="list-style-type: none"> • Scientific objectivity • Reliability, verification, replication • Detached observer 	<ul style="list-style-type: none"> • Subjective experience • Small-scale interactions • Empathic observer 	<ul style="list-style-type: none"> • Power-laden environments • Hegemonic/dominant discourses • Social justice • Observer constructing version
Methodology	<ul style="list-style-type: none"> • Experimental • Quantitative • Hypothesis testing 	<ul style="list-style-type: none"> • Interactional • Interpretation • Qualitative 	<ul style="list-style-type: none"> • Deconstruction • Textual analysis • Discourse analysis

Source: Adapted from Somekh & Lewin (2011: xix).

The research methodologies used for social, behavioural and life sciences (of which urban and regional planning form part) span both qualitative and quantitative methods (Mellenbergh, 1999:324). However, even though in theory there is clear differentiation between different research methodologies, in practice qualitative and quantitative research traditions often overlap (Roberts, 2007:27). Somekh & Lewin (2011:xx) also assert that while research methodologies provide a framework for research, research may not necessarily be limited to one approach.

Thus the opportunity exists to move beyond the paradigms outlined above and contribute to the development of a new epistemological framework for research practices and processes that centralise relationships and understanding and leanings as well as knowledge, and which may initiate different forms of social change. In this regard Cox *et al.* (2008:5) believe that critical reflections on the links and interconnections between theories, methodologies, methods and social change should be an indispensable component of research and accounts of research, wherever and however it is undertaken. Ultimately, the objective in research has to be the construction of a coherent whole from different considerations deriving from the purpose of the research, the theoretical paradigm informing the research, the context wherein the research is carried out, and the research techniques employed to collect and analyse data (Durrheim, 2006:38-39).

2.2 Research methodology used in this study

Fundamentally this study concerns planning practice and implementation within the ambit of indigenous knowledge and communicative planning theory. Therefore the critical strand within the qualitative methodologies is considered as the most appropriate research approach for this study. Specific standpoint research approaches within critical research are also employed, namely Feminism and Africanism. This approach to planning theory is normative in nature, according to Friedman (2011:208), as it is a study driven by value propositions such as Forester's work (based on Habermasian theory of communicative action, Forester 1982a, 1982b, 1987, 1989, 1996, 1999, 2001, 2004).

As stated in the introduction to this study, the poverty and social exclusion of communities in the predominantly rural areas of South Africa are rife, and standpoint approaches emphasise the need to give voice to excluded individuals, groups and communities. Feminism and Africanism illustrate how different versions of the social world are created and how these constructions of reality make certain actions possible and others unthinkable. As research is about creating new social realities (Terre Blanche & Durrheim, 2006:10), giving expression to marginalised groupings' realities significantly contributes to our knowledge of the reality in the predominantly rural areas of South Africa.

In utilising the Feminism and Africanism standpoint research methodologies, the researcher identifies with their ontological position of respecting people's knowledge, values and experience as meaningful and worthy of exploration (Byrne, 2012:209-210). In addition, some of the primary aims in feminist research are to advance women's careers as social scientists and to research issues that do justice to women's experience (Eagle, et al., 2006:502). An equally important and appropriate counterpart for Feminism is the Africanism standpoint approach, which has also been employed in research projects. This can be discerned from the

increasing focus of feminist research on differences in the experiences of oppression of subgroups of women in recent times, for instance the living circumstances of rural women in South Africa (Eagle, et al., 2006:503). Still, the history of science in Africa has been characterised by scientists from outside the continent studying and writing about Africans (Bless, et al., 2013:89), heightening the need of indigenous African research perspectives. Scant research is available based on an appreciation of African tradition, which is concerned with human values that are broadly recognised as part of African culture, such as a sense of identity as being inseparable from one's community and a strong sense of collective being and consciousness (Eagle, et al., 2006:511).

In conclusion, a researcher brings expectations, anxieties and hopes to a study and experiences a wide range of feelings during the research process (Roberts, 2007:13). Values, prejudices and prior beliefs affect the way we all think about an event, object, place, person, thing or subject (May, 2011:3). This has been taken into account in the choice of Feminism and Africanism standpoint research for this study, reflecting the awareness and consideration of how being a woman and an African have shaped the research process.

PART 2 LITERATURE REVIEW

CHAPTER 3 SUSTAINABLE RURAL LIVELIHOOD DEVELOPMENT

Sustainable rural livelihood development is a concept that is derived from that of sustainable development. From the early 1970s, “sustainable development” has increasingly become the focus of the development debate, evolving from the “basic needs” approach which had poverty alleviation as one of its principle goals (Cole, 1994b:228). The subsequent discussion endeavours to define sustainable development, describe the evolution of sustainable development ideology and its measurements, and the applicability thereof to the development of sustainable rural livelihoods in South Africa.

Conventional “sustainable development” approaches, which focus exclusively on improved management of natural resources, does not sufficiently take into account the livelihood strategies of farm households and communities. If the emphasis is only on increased economic growth, it does not take into account that for most of the rural population, the focus is on livelihood strategies (specifically the rural poor). According to Baumgartner (2004:17) rural development should support rural communities in the constant adaptation of their survival strategies towards the goal of more sustainable livelihoods. In terms of this context, more sustainable agro-ecosystems should be negotiated and promoted. The different recognised dimensions of these livelihoods, construed according to Dale’s definition of development indicators, (2004:2-3), include: economic features; social features; dependent versus independent position (i.e. the degree of freedom in making own choices); marginalised versus integrated position; degree of freedom from violence; degree of mental satisfaction; and the possession of a development-related mind set – a perception of one’s position and opportunities in society at the level of the social group, household or among individuals.

The chapter sections for appraising sustainable development and its meaning for sustainable rural livelihood development are indicated in Figure 3-1.

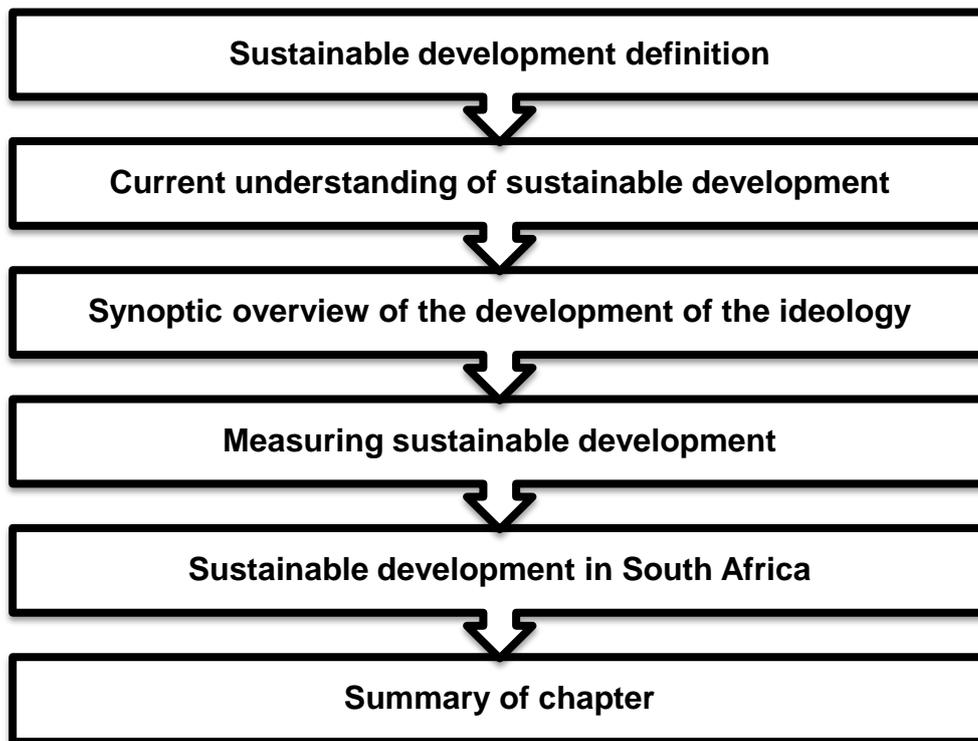


Figure 3-1: Chapter sections

3.1 Sustainable development definition

The best-known definition of sustainable development is “development that meets the needs of the present without compromising the ability of future generations to meet their own needs”. This definition originated with the report of the World Commission on Environment and Development (also known as the Brundtland commission) entitled “Our Common Future” (1987). It has often been referenced in sustainable development discussions, used either as is or elaborated upon, but its validity as a definition has also been questioned, particularly with regards to its vagueness about how “sustainable development” is to be achieved. This vagueness, however, has also allowed it to be embraced by different stakeholders, whether they be conservative, radical or somewhere in between (Cole, 1994b:228). It has led to definitions of sustainable development that range from the succinct to those containing detailed descriptions of the different elements composing sustainable development.

Originally, the focus of sustainable development had been on its environmental aspect, recognising the necessity of meeting the complex needs of people while maintaining the integrity of natural systems that support all life (Silberstein & Maser, 2000:69). Raymond F. Dasman (a prominent conservation biologist), for instance, believed that sustainable development should be the rational use of the environment to provide the best possible sustainable quality of life for humanity. In other words, “using environmental resources to

provide a sustainable living environment for as long as possible”, where the quality of life refers to the quantitative and qualitative needs of people (Dasmann, 1975:5).

Eventually, sustainable development and sustainability began to be defined in terms of the “triple bottom line” (the three components of sustainable development), namely economic development, social development and environmental protection as interdependent and mutually reinforcing pillars (United Nations General Assembly, 2005). Munasinge (2009:3) describes it as “a process for improving the range of opportunities that will enable individual human beings and communities to achieve their aspirations and full potential over a sustained period of time, while maintaining the resilience of economic, social and environmental systems”.

Anglin (2011:32) provides an especially inclusive definition of sustainable development, stating that locally sustainable development is the use of natural, economic, political, human, and social capital with attention to the ability of future generations to benefit from these resources, and includes the necessity of good stewardship of the environment in the effective use or reuse of natural or man-made assets while generating income and livelihoods. A livelihood (in this sense) comprises the capabilities, assets (stores, resources, claims and access) and activities required for a means of living. A rural livelihood, in this context, is sustainable when it can cope with and recover from stress and shocks, maintain or enhance its capabilities and assets, and provide sustainable livelihood opportunities for the next generation, and when it contributes net benefits to other livelihoods at the local and global levels and in the short and long term (Chambers & Conway, 1992:6).

Carley (2001:10) provides perhaps the most comprehensive definition, declaring sustainable development to be a continuing process of mediation among social, economic and environmental needs which results in positive socio-economic change that does not undermine the ecological and social systems upon which communities and society are dependent. In addition, its successful implementation requires integrated policy, planning and social learning processes and its political viability depends on the full support of the people it affects through their governments, their social institutions and their private activities.

All of these definitions have three pertinent characteristics, as identified by Martens (2006:36-38): it is intergenerational (at least two generations, or 25 to 50 years), the level of scale (global to regional to local, not necessarily mutually inclusive, due to shunting mechanisms) and multiple domains (economic, ecological and socio-cultural).

3.2 Current understanding of sustainable development

However defined, at present the understanding of sustainable development involves a complex interaction among at least three environments: the socio-political, the economic and the

ecological, with humankind at the centre (MacDonald, 1994: 125). Figure 3-2 demonstrates the crucial interdependency of these environments in order to attain sustainable development. As Gause (2007:7) describes it, sustainable communities link citizens to nature (ecological) and to one another (socio-political) to create more healthy and vital neighbourhoods (economic), and involve residents in community governance and environmental stewardship.

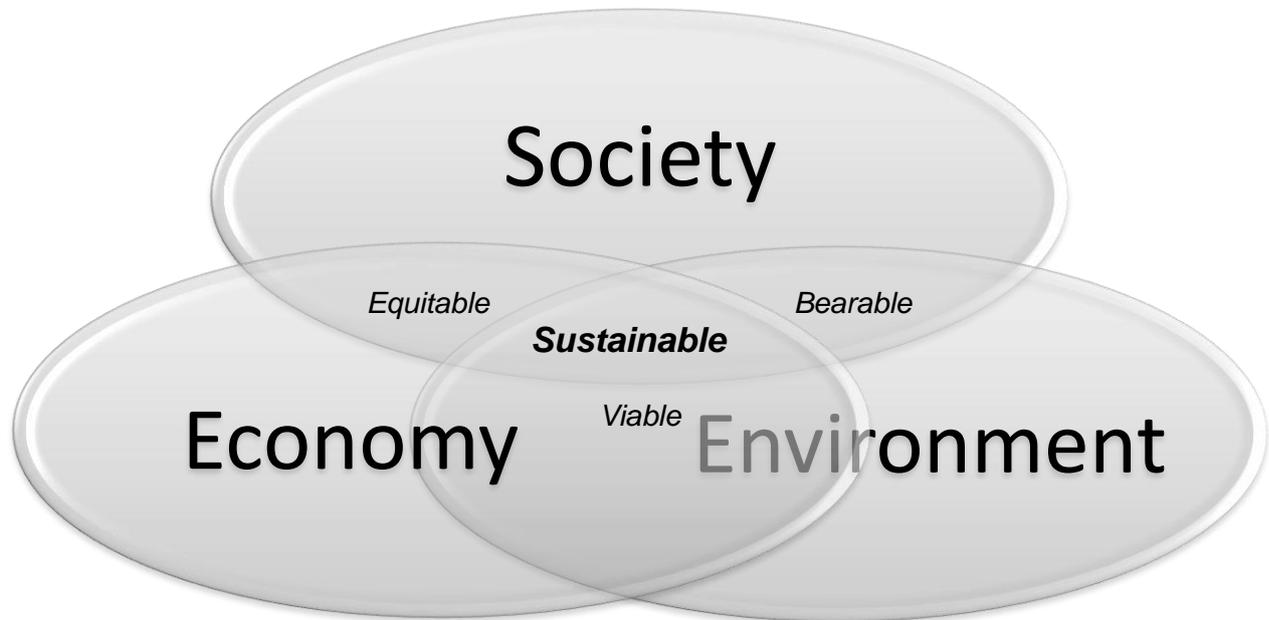


Figure 3-2: Elements of sustainable development

Source: Johann Dréo (2006).

An important *caveat* when determining the perception of “sustainable development”, and “sustainable rural livelihood development” as an extension thereof, is the realisation that “development” is a context-dependent perspective, as economies, societies and environments differ, making it difficult to arrive at a consensus of the goal for sustainable development applicable to all communities at all times (Pearce, et al., 1990:2). Therefore, it is necessary to understand how these three elements are viewed, as well as their mutual interconnectedness, in sustainable development.

The first aspect, and one that is often overlooked when sustainable development is equated with environmental conservation, is the interrelatedness between the economic, environmental and socio-political spheres. UN-Habitat (2014:255) states that in Africa the prevalent belief is still that the conservation of environmental resources and development is in conflict with development. In reality, the successful integration of ecology and economy can provide sufficient feedback mechanisms to ensure the resilience of ecosystems and the endurance of their life-sustaining elements (Panday & Khanna, 1990:14). This is more than just a “solution” to the conflict between conservation and development (Kritzing, 1996:4); it emphasises the

interdependence of socio-economic development and environmental conservation in the achievement of quality of life (Nel, 1994:65).

Conservation and development “should be seen as mutual[ly] supportive allies in striving to ensure that minimum harm is done to the environment with the maximum benefits to those communities directly affected by the decisions of the policy-makers” (Hilliard & Wissink, 1996:26). A salient example supporting this argument is that sustainable agriculture (need for development) is impossible to achieve if land is degrading (need for conservation) (Savory & Butterfield, 2010:151). For sustainable rural livelihood development in South Africa, this implies a “historically constituted, sustainable mode of organization employed by a rural society to use its area and manage its resources, resulting in interactions between the bio-physical, socio-economic and technical factors” (Jouve, et al., 1996:19).

Considering the interdependence of the environment with the economy and socio-political spheres, the primary concerns in this context are the carrying capacity of the natural environment (what is bearable) and its viability. Edward Goldsmith (1977:131) describes these issues in terms of the maintenance of stability in the natural world and the self-regulation of the biosphere and all the systems which constitute it. He also points out the inextricable link between self-regulation and the achievement of stability, stating that the two are normally included in the same concept of “homoeostasis”. If self-regulation is impaired and the system comes to be controlled externally (asystemically) by an agent outside the system and random to it, then there is no longer any mechanism for keeping it on its course towards stability.

A specific example of an asystemic challenge to sustainable development is that of urban sprawl (Ling, 2005:129). According to Zetter and Watson (2006:1) built environments which are culturally rooted, locally produced and technologically adapted in time and space, are being rapidly eroded through urban sprawl, and this removes the vitality (sustainability) created by mixed activity patterns. It is therefore necessary to alter town planning practices in urban environments to be more sustainable, by shifting towards dense, mixed-use urban neighbourhoods with “win-win” social and environmental effects: reduced materials consumption, increased recycling, closer linkage between jobs and residence, more use of public transport, walking and cycling, lower levels of car ownership and use, more support for local retailers as opposed to out-of-town shopping malls etc. (Carley, 2001:7).

Juárez-Galeana (2006:184) states that a sustainable built form in terms of social welfare and quality of life, as well as energy use and waste reduction needs to be striven for by involving all the relevant players in the production and consumption of urban space. In addition, economically sustainable communities provide on-site employment opportunities and sustainable local activities that best suit the daily needs of the community (Juárez-Galeana,

2006:192). This line of reasoning is one of the driving forces behind the 'micro-development' approach towards development planning, and while these remarks were made in an urban context, the tenets thereof is also applicable to sustainable rural livelihood planning.

Although the economic and environmental aspects usually dominate discussions of sustainable development (as is evident in the previous paragraphs), there has been a growing realisation that the social aspect may in all probability be the determining factor in the success or failure of sustainable livelihood development. Carley asserts that although ecological innovation sounds a like "grand, global objective", it can be politically and socially feasible only if it is the result of a mass movement beginning in the household and neighbourhood (2001:7). People interact socially with the natural environment, and to realise sustainable lifestyles and sustainable rural livelihoods, appropriate patterns of social behaviour have to be established (Cole, 1994b:235).

Goldsmith contends that sustainable social behaviour can be seen as a self-regulating system in which behaviour which satisfies the needs of the differentiated parts will also satisfy those of the whole (1972:20). The patterns of social behaviour that support sustainable rural livelihoods, according to the Northwest Policy Centre at the Graduate School of Public Affairs, University of Washington, is fostering commitment to "place", promoting vitality, building resilience, acting as stewards, forging connections and promoting equity (Silberstein & Maser, 2000:175). It also creates the opportunity of promoting gender equity, through the incorporation of the perspectives, needs and interests of women (which are different from men and also reflect the needs of children and families) in decision making (Premchander & Chidambaranathan, 2004:209).

This vision of the mutual interconnectedness of the socio-political, economic and ecological environments supports one of the most essential precepts of sustainable development, namely that it cannot occur in isolation. This is particularly relevant to socio-political relations in sustainable development. For instance, although the distinction of "local governance" is emphasised in sustainable development and the relationship between the state and society can be characterised by strategic engagement or disengagement, the image of the state and society as discrete spheres cannot be sustained (Mohan & Stokke, 2000:264).

Goldsmith (1972:15) also argues that the basic precepts of ecology, such as the interrelatedness of all things and the far-reaching effects of ecological processes and their disruption, should influence community decision-making, and hence there must be an efficient and sensitive communications network among all communities. He continues that there must be procedures whereby community actions that affect regions can be discussed at regional level and regional actions with extra-regional effects can be discussed at global level, to effectively foster community feeling and global awareness. This support needs to be provided

by external bodies, including agencies of government. Dale (2004:206) proposes that this support encompasses the provision of a conducive policy framework and the facilitation of processes of planning, technical training and participation in (and even responsibility for) planning and implementing some kinds of projects. Thus, a sustainable community can be conceived of as an evolving organism that needs an appropriate framework of tenets and techniques (local, regional, national and global) to facilitate its evolution in an environmentally and financially (economically) responsible manner (Gause, 2007:14).

To illustrate the significance of the interrelationship of sustainability factors, Chambers and Conway (1992:7-8) translate the concepts of sustainable development into livelihood capabilities, tangible assets and intangible assets, so as to determine and define sustainable livelihoods. Capability refers to being able to perform certain basic functions, in other words what a person is capable of doing and being. It includes being able to cope with stress as well as being reactive, proactive and dynamically adaptable. Tangible assets are often both stores and resources i.e. livestock, trees and savings. Intangible assets include claims, which are demands and appeals which can be made for material, moral or other practical support or access, as well as access, or the opportunity in practice to use a resource, store or service or to obtain information, material technology, employment food or income. This approach is illustrated in Figure 3-3.

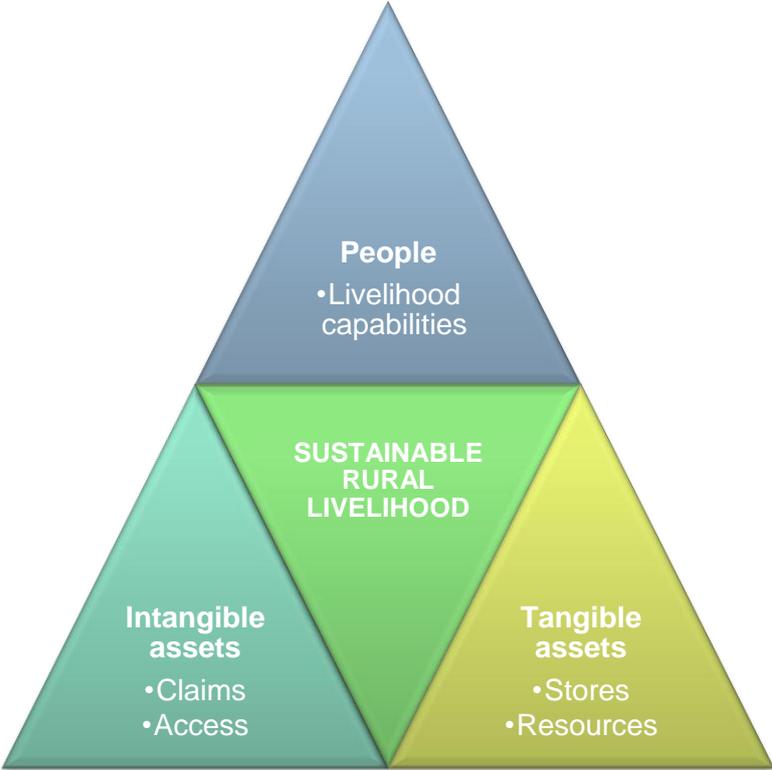


Figure 3-3: Components and flows in a livelihood

Source: Chambers & Conway (1992:7).

In their "Community development toolkit", Coetzee & Du Toit (2011b:15-16) have a similar description of the components that comprise livelihoods, namely human (skills, knowledge, ability to work and good health), social (based on relationships i.e. organisations and groups within the community, political structures and informal networks), natural (local environment i.e. land, trees, water, air, climate and minerals), physical (man-made i.e. building, transport, water supply and sanitation services, energy sources and telecommunications), economic (for sustaining livelihoods i.e. money, savings, grain stores, livestock, tools & equipment) and spiritual (i.e. faith, scripture, " & prayer).

3.3 Synoptic overview of the development of the ideology

According to Munasinge (2009:3), the achievement of sustainable development is one of the primary challenges of the twenty-first century, with poverty alleviation as its main goal. This view reflects the changes that have taken place in the development objectives set since the Second World War to address poverty alleviation, and can be divided into three overlapping phases (Clayton, 1983:3). The first phase of development objectives can be discerned in the period extending from the early 1940s to almost the end of the 1970s focussing on a capitalistic approach of economic growth influencing/determining regional development (i.e. Rostow's balanced growth theory (1960) or Friedman's unbalanced growth theory (1966)). It tried to use the "advantages" of urbanisation and industrialisation to distribute economic benefits to the poorer segments of the population (Lynch, 2005:1). When these did not succeed, the second phase commenced, where the objectives for growth changed to a socialistic approach that focused on the improvement of living standards, through employment creation and income distribution.

About midway through the 1970s a third phase emerged. Economic growth models had been found wanting in the measurement of a population's well-being and this led to the basic needs approach and its attendant developments. It did not supplant phase two but rather embraced its income distribution and employment components and added a range of new sub-objectives collectively known as "basic needs", which addition particularly resonates with developing countries (Aziz, 1978:xv). This basic needs approach focussed not only on the means of development but also on the results of processes and included the idea of self-sustaining development, meaning development controlled by the community (Davids, et al., 2009:108). In other words it supported the devising of a social and economic system that ensured sustained economic growth. The objectives were that real incomes were to rise, educational standards were to increase, the health of the nation was to improve, and that the general quality of life was to be advanced (Pearce, *et al.*, 1990:1).

A comprehensive description of this third phase approach is provided by Dewar *et al.* (1986:85-97) who state that the objective of the “basic needs” approach is the eradication of the worst aspects of human poverty and the provision of basic household and community needs by the year 2000, with minimum targets set for food consumption, clothing, housing and the provision of essential services in the areas of water, sanitation, education, health and public transport. In addition, as means towards these goals but also as ends in themselves are the provision of productive and satisfying employment opportunities, the participation of the people in the making of decisions which affect them and the evolution of a pattern of economic growth which provides for these needs in a way which is sustainable in the long term and in harmony with world resources and fulfilment of the broader dimensions of man's nature. The basic needs targets are specific priorities for meeting the essential physical and social needs of the population through changes in the structure and growth of production and distribution designed to produce more of the goods and services to meet basic needs and to make sure that the poorest have sufficient income or other means of access to these. In essence the proposal is for a change in the structure of production and distribution as well as consumption and probably for some acceleration in growth rates over time.

However, a more radical approach also emerged during this time in reaction to an economic-growth-focussed approach to sustainable development. Edward Goldsmith declared that we must create “an economically and politically de-centralised post-industrial society” in his seminal work *A Blueprint for Survival*, published in the magazine *The Ecologist* in January 1972. This document was signed by over thirty of the leading scientists of the day, including Sir Julian Huxley, Sir Frank Fraser Darling, Sir Peter Medawar and Sir Peter Scott. It recommended that people live in small, decentralised and largely de-industrialised communities. Tribal societies were used as the model which, it was claimed, were characterised by their small, human-scale communities, low-impact technologies, successful population controls, sustainable resource management, holistic and ecologically integrated world views, and a high degree of social cohesion, physical health, psychological well-being and spiritual fulfilment of their members. Silberstein and Maser (2000:191) echo this viewpoint, stating that while the modern age is characterised by individualism, materialism and the illusion of rationality, the new age or the age of sustainability will be characterised by community, spirituality and intuition.

The limitations of focussing solely on economic growth in attempting to achieve development have also been recognised by others, and the broadening of the concept of sustainable development reflects this. In the report *Our Common Future* by the Brundtland Commission (1987), poverty reduction, gender equity, and wealth redistribution are considered crucial to formulating strategies for sustainable development, in addition to the recognition of the environmental limits to economic growth in industrialised and industrialising nations. Other

important issues to be considered are the support of alternative educational models in poor communities, green building techniques for affordable housing, linked workforce development efforts and initiatives that support wealth building in poor communities (Anglin, 2011:102). The sustainable development paradigm can thus be defined as a process that requires deep changes via a networked, multi-stakeholder, multilevel global citizens' movement, a responsive governance structure, improved policy tools, advanced technologies, and better communications which will work on underlying pressures linked to basic needs, social power structures, values, choices and an adequate knowledge base to improve living conditions (Munasinge, 2009:19).

3.4 Measuring sustainable development

As is evident from the preceding discussion, conventional macroeconomic analysis does not succeed in successfully measuring sustainable development when it is considered as more than just economic growth. Magnaghi (2005) argues that to truly measure sustainable development, a radical transformation in terms of current analytical and design paradigms at various levels is necessary. At the analytical level there should be a transition from functional descriptions of space to descriptions giving an identity to the milieu; at design level, sectoral plans should change to integrated multi-sectoral plans with a strategic and interactive value; and at the assessment stage it should change from the environmental impact to multi-purpose models referring to the integration and multi-sectoral concept of sustainability (Magnaghi, 2005:55).

In using the term “development” instead of “growth” (when referring to sustainability), the very inability of purely economic indicators to measure the welfare of people is emphasised. Whereas “growth” refers to an increase in size by the assimilation or accretion of materials, “development” means the expansion or realisation of the potentials of or to bring to a fuller, greater or better state (Korten, 1992:13). Indicators such as the Gross National Product (GNP) fail to measure true sustainable income, as natural and environmental resources are not fully included in balance sheets, the true costs of using natural resources in economic activities are not recorded and clean-up or abatement activities inflate the economy without offsetting environmental damage. Thus GNP calculations are distorted in two ways because undesirable outputs (like pollution) are overlooked while beneficial environment-related activities are often implicitly valued at zero (Munasinge, 2009:102).

Goldsmith goes even further in decrying the inability of economic growth to measure the improvement of living circumstances, referring to the contraction and deterioration of the natural world by the “surrogate” (industrial) world, and by extension the biological and social contraction and deterioration caused by economic growth (1977:129). He emphasises that only immediate

monetary costs are taken into account but not the damage done to societies and ecosystems, and that powerful inflationary trends are a sign of this disregard (1977:141).

In essence the sustainable development approach is the realisation that the improvement of human well-being encompasses more than just promoting economic growth. It should also include the following (Munasinge, 2009:9-17):

- Alleviating poverty and inequity;
- Providing adequate food;
- Supplying clean water;
- Supplying adequate energy for basic needs;
- Providing a healthy environment for those exposed to dangerous levels of pollution;
- Providing safe shelter;
- Managing globalisation;
- Striving for private-public balance , i.e. profit and environmental costs;
- Negotiating environmental damage;
- Resolving conflict and competition for resources; and
- Improving poor governance.

In order to determine whether development is sustainable, then, indicators other than the GDP need to be used. Goldsmith (1972) proposes that our accounting (or measuring) system should reflect stock economics: in other words, the health of the economy should not be measured by flow or throughput (since this inevitably leads to waste, resource depletion and environmental disruption), but by the distribution, quality and variety of the stock. In addition, provision should be made for the full costs of any action as it must be borne by someone, somewhere, sometime, as far as is possible (Goldsmith, 1972:12). Sonia Bueno's (2010:43) suggested approach correlates with this proposal, namely that the measurement of sustainability be based upon the integral, long-term cost-benefit relationship as an assessment and monitoring tool for every project, activity or enterprise.

According to Talberth & Cobb (2010:49) the Genuine Progress Indicator (GPI) and its variants, such as the index of sustainable economic welfare, provide such a measure for national economic welfare. The GPI considers households as the basic building blocks of a nation's welfare, and thus begins its accounting exercise with expenditure on personal consumption. To this the GPI adds benefits associated with activities that enhance personal welfare, such as parenting, housework, volunteering and higher education, as well as the services that flow from household capital and public infrastructure. The GPI then deducts costs associated with pollution, the loss of leisure time, auto accidents, and the destruction or outright degradation of natural capital, the accumulation of international debt, and the depletion of resources. The end

result is an index that attempts to measure our collective welfare in terms of principles of sustainability drawn from the economic, social and environmental domains.

In the effort to develop indicators to measure sustainability, a discipline dedicated thereto has emerged, namely “sustainomics”. In *Sustainable development in practice*, Munasinge (2009:22-23) establishes the following framework for sustainomics (Table 3-1):

Table 3-1: Framework for sustainomics

- **Make development more sustainable:** the step-by-step approach of “making development more sustainable” (MDMS) becomes the prime objective, while sustainable development is defined as a process (rather than an end point).
- **Adopt the balanced sustainable development triangle viewpoint:** sustainable development requires balanced and integrated analysis from three main perspectives: the social (the enrichment of human relationships and the achievement of individual and group aspirations), the economic (improving human welfare through the consumption of goods and services) and the environmental (the protection of the integrity and resilience of ecological systems).
- **Transcend conventional boundaries for better integration:** across all domains and disciplines, from global to very local, from decades to centuries as time horizons, and encompassing the full operational cycle. Also, it is important that all stakeholders should participate through their inclusion, empowerment and consultation.
- **Apply full-cycle, practical and innovative analytical tools:** a variety of practical and novel analytical tools exist, that facilitate governance over the full cycle from initial data gathering to ultimate policy implementation and feedback.

Source: Munasinge (2009:22-23).

There are numerous examples of how specific communities have strived to achieve sustainability and the indicators they have put in place to measure their progress. For instance, an affordable housing project in Portland, Oregon, developed by the Hacienda Community Development Corporation, envisioned a healthy community with hundreds of new housing units in close proximity to services and public transportation, decreasing the long-term burden of utility costs and creating a safe, healthy environment for residents (Gause, 2007:85). The project had the following objectives in particular: 44 three- and four-bedroom apartments, rented to families earning between 30% and 60% of the area median income-flow; sustainable features including whole-house ventilation systems, on-site rainwater filtration, efficient hydronic space heating, abundant natural lighting, fluorescent lighting fixtures, fibre-cement siding, insulation, and energy-efficient appliances; and each unit had a rooftop solar heating system.

Gause (2007) states that Indicators can also be set out in a metrics diagram, as in Table 3-2.

Table 3-2: Example of sustainability metric

CATEGORY	METRIC	PRESENT	FUTURE
<i>Population</i>			
Number of people	Population estimate		
<i>Site design and land use</i>			
Density	Dwelling units per hectare		
Access to services	Km from services		
<i>Landscape and biodiversity</i>			
Open space	% land allocated as open space		
Tree preservation	Number of mature trees		
Other			
<i>Transportation</i>			
Walkability	Block length in meters		
Transit connectivity	Km to transit		
Transit frequency	Number of transit rides per weekday		
Parking			
Mode share	Weekday peak hour, non-auto mode share		
<i>Energy</i>			
Energy use	Electricity use per sq/m		
Energy use	Peak electric power demand		
Renewable energy	% of energy from on-site renewable resources		
Carbon emissions	CO ₂ emissions kg per capita ²		
<i>Water</i>			
Water use	Per capita potable water use (litres per day per capita)		
Wastewater reuse	% of wastewater recycled		
Storm water	% of impervious surfaces		
<i>Solid waste</i>			
Diversion rate	% of waste diverted from landfill		
<i>Health, safety and security</i>			
Exposure to physical risks	Flooding, climate change		
Violent crime	# of cases reported & solved		
Petty crime	# of cases reported & solved		
<i>Community and economic indicators</i>			
Community facilities	Community facilities (sq m)		
Community diversity (families)	% of households with children		
Community diversity (age)	% of residents <18 and >64 years of age		
Affordability	% affordable housing		

Source: Gause (2007:2).

Practically, criteria and ways of thinking are needed to implement and measure sustainable rural livelihood development. In order for the state and society to know whether progress is being made towards “vibrant, sustainable and equitable rural communities”, comprehensive and accessible measures are vital (DRDLR, 2013a: 9). However, Chambers and Conway (1992:18) state that it is not always necessary to know ‘how much’, when it is often enough to know ‘more’ or ‘less’ or a trend. The dimensions that comprise sustainable rural livelihoods, as viewed through the Rural Livelihood System Mandala (developed by Baumgartner *et al.*, 2004), provides a framework for placing sustainable trends in a village agrosystem:

Individual orientation (e.g. visions, aspirations)	Family orientation (e.g. ancestors, social status)	Collective orientation (e.g. tradition, education, world-views)
Inner human space (e.g. integrity, identity, selfishness/compassion)	Family space (e.g. gender relations, solidarity)	Socio-economic space (e.g. systems of cooperation, community, organisation)
Emotional base (e.g. memories, attachments)	Knowledge and activity base (e.g. technology, experiences, skills)	Physical base (e.g. natural resources, assets)

Figure 3-4: Rural Livelihood System Mandala

Source: Baumgartner *et al.* (2004:343).

3.5 Sustainable development in South Africa

The South African planning processes and policies post-1994 specifically endeavour to incorporate sustainability principles to address the challenges of sprawling suburbia, mono-functional zoning, low-density development and the social inequities of the separated and fragmented urban landscape (White Paper on Local Government, 1998: 21). In the RDP, for instance, specific goals are set for the sustainable use of resources, including fair access to natural resources, safe and healthy living and work environments, and participatory decision-making processes regarding environmental issues, to enable communities to manage their own natural environments (Janse van Rensburg, 1995:138).

This approach towards sustainable development in South Africa reflects the viewpoint of Munasinge (2009:225), namely that sustainable development strategies should be devised on a country-specific basis, with due regard for local conditions, resource endowments and social needs. Zetter & Watson (2006:10) also hold that to design sustainable settlements, people-

based neighbourhoods be attuned to cultural precepts, encode the history and collective identity of residents, build on community-empowered models of design, and be physically adapted to environmental conditions. In terms of planning for sustainable rural livelihoods, it implies that the perspectives of rural communities should be at the heart of strategic rural planning. Furthermore, it has to integrate soil and water resource conservation, irrigation and drainage, water resource allocation and total catchment management; development of sustainable production systems and their supporting infrastructure; and the development of the human capital of rural areas (Dalal-Clayton, et al., 2003:187).

Sustainable development approaches in South Africa also recognise that the sustainability of urban and rural areas is intimately linked, as evident in the draft Integrated Urban Development Framework (2014:5). Rural and urban dwellers exploit urban-rural differentials to develop and enhance survival strategies and livelihood options. Lynch (2005:96) even states that the different benefits and costs of urban and rural areas provide precisely the opportunities that multi-locational and migrant households are seeking.

It is necessary to realise, however, that there is no perfect sustainable strategy that can be applied “as is”, to create sustainable communities in South Africa, wherever they may be located on the urban-rural continuum. Instead, there is an emerging set of practices (both proven and exploratory) that provides a solid baseline from which to start (Gause, 2007:14). This baseline can be utilised to resolve systemic impediments to sustainable development in South Africa, both general and specific.

Specific hindrances to sustainable development in South Africa, as pointed out by Lubbe (1995:108), include issues such as the relative shortage of water and the pollution of water sources, the yearly degradation of topsoil, the desperate need of indigents to improve their living conditions, and the desire of the affluent to maintain their living standard. In addition, Nel and Hill (2000:230) have identified other critical issues that need particular attention in the sustainability approach, namely land tenure issues and economic interaction in rural former homeland areas, particularly in terms of civil pensions, urban dependence, the role of local production and the place of local/periodic markets. They also state that the assessment of community-environment interaction in the country is critically important for promoting environmentally and economically sustainable development. Furthermore, Lumby (1994:88) lists pertinent matters that need to be considered in the South African context such as the impact of the mining sector, environmental degradation due to unsustainable agricultural practices (particularly due to the restriction of black agriculture prior to 1994 and the ineffective use of resources in commercial agriculture), maritime unsustainability and inadequate community health practices.

There are also specific gender issues that need to be incorporated into any approach towards sustainable rural livelihood development, firstly that of increased access for women to social grants and support, secondly enabling women to participate in planning and implementation processes, and thirdly access to resources (Government of National Unity, 1995). With respect to social support and grants, issues such as access to water, electricity and telephones, health care facilities and issues emanating from customary law and the lack of understanding of bureaucratic systems, are particularly relevant to women. Enabling participation for women include the provision of childcare, information, education, training, capacity building, and positive strengthening of women's groups and cooperatives. The access of women to resources relates to the control and access (or lack thereof) that women in rural areas have to land rights, access to grazing land and other resources.

Perhaps the most crucial aspect for achieving sustainable development in South Africa is the matter of access to land use rights. The most significant determinant in this matter is the institutional environment through which resources are distributed (particularly land) (Cole, 1994a:4). Also, the manner in which it is to be achieved should be carefully considered, as rapid and large-scale land reforms could be economically disastrous (Clayton, 1983:21), as is evident in the current circumstances of Zimbabwe.

In support of sustainable rural livelihood development in South Africa, and to address the concerns mentioned, Chapter 6 of the National Development Plan (2012:219) states that an integrated and inclusive rural development strategy should be embarked on, with due cognisance of the following:

- Rural communities require greater social, economic and political opportunities to overcome poverty.
- To achieve this, agricultural development should introduce a land-reform and job creation/ livelihood strategy that ensure rural communities have jobs.
- Ensure quality access to basic services, health care, education and food security.
- Plans for rural towns should be tailor-made according to the varying opportunities in each area. Intergovernmental relations should be addressed to improve rural governance.

3.6 Summary of chapter

To summarise, sustainable development is best understood as striving towards optimal synergy in the use of economic, social and ecological resources to provide for humanity's current and future needs, in a manner that is accountable. In other words, it should be understood as a process, not an end result. As Goldsmith (1972:17) states, changes to a sustainable living model are a continuous activity including minor and major changes, simultaneous and

consecutive actions, and short- and long-term time frames. It is a normative concept, dealing with different temporal and spatial scales and with multiple stakeholders (Van Zeijl-Rozema, et al., 2007) and should therefore be defined within a specific context.

The determination of sustainable development within a specific context, according to Stöhr and Taylor (1981:1), should be principally be focussed on the most effective utilisation of each area's ecological, human and organisational resources with the purpose of supplying in the basic needs of the residents of that area. The key principles in determining the specific definition should be maintaining environmental integrity, realistic expectations in terms of needs and wants, and the interconnectedness of the first two principles. In this manner sustainable development for a community will not contemplate any statistical state of affairs or finite stocks, but rather emphasizes a positive evolution and positive lines of development (Chambers & Conway, 1992:9).

For sustainable rural livelihoods, the implication is a livelihood which can cope with and recover from stress and shocks, maintain or enhance its capabilities and assets and provide sustainable livelihood opportunities for the next generation; and which contributes net benefits to other livelihoods and local and global levels and in the short and long term (Chambers & Conway, 1992:i). Primarily, the focus should include labour-intensive practices, small-scale, regional-resource based and the use of appropriate rather than highest technology. Most importantly, sustainable rural livelihood should be a concept that is defined by a community for itself. If the process through which a community arrives at decisions that affect how the land where they live is developed, is inclusive and value-laden, and produces multidimensional solutions that serve human needs while protecting ecological health, it should result in sustainable rural livelihoods (Silberstein & Maser, 2000:155). Gause (2007:14) advises taking three steps in realistically defining sustainability, namely:

- Defining sustainable living within the specific context (environment, socio-political and economic);
- Defining ways to measure sustainability and instituting those metrics early on; and
- Defining the achievable big benefits early on and focussing resources to ensure their success, thus increasing sustainability in each successive stage of development.

Sustainable rural livelihoods should be viewed as an integrating concept, as well as an empowerment initiative. Placing rural communities at the centre of rural livelihood planning and increasing their participation will enable them to achieve the sort of sustainable livelihoods they want and need. The salient points of the preceding discussion are summarised in Figure 3-5:

Defining sustainable development

- Sustainable development can be defined in terms of generation span, level of scale and different domains.
- A continues mediation process among social, economic and environmental needs.
- It results in positive socio-economic change that does not undermine the ecological and social systems upon which communities and societies depend.

Definition of sustainable rural livelihoods

- It can cope with and recover from stress and shocks.
- It can maintain or enhance its capabilities and assets (tangible and intangible).
- It provides sustainable livelihood opportunities for current and next generation.
- It contributes net benefits to other livelihoods at the local and global levels in the short and long term.

Measuring sustainable rural livelihood development

- Define sustainable livelihood the specific rural village context (environment, socio-political and economic).
- Define measurements for sustainable livelihood and instituting the metrics as soon as possible.
- Define development increments for each successive stage of development.
- Implement and monitor interventions to achieve sustainable livelihoods and adapting where necessary.

Gender equity in sustainable rural livelihoods

- Ensure that women have greater participation in decision making so that their unique perspectives are included.
- Higher percentage of female ownership of tangible assets should be sought to provide women with a more equal footing in negotiations.

Key issues

- Assisting rural communities in defining sustainable rural livelihoods within their own context.
- Identification of relevant and meaningful sustainability measuring instruments.
- Ensuring gender equity in determining sustainable rural livelihoods.
- Developing livelihood capabilities of rural population.
- Determining the true costs and benefits of assets (tangible and intangible), as well as maintenance and enhancement thereof.

Figure 3-5: Summary of chapter

Source: Own construction (2015).

CHAPTER 4 TRADITIONAL AFRICAN COMMUNITY ENVIRONMENT CONTEXT

The traditional community environment tends to be valued by First World eco-villagers in terms of “global sustainability”. “Blueprint for Survival” by Goldsmith and Allan, written in the early seventies, is a prime example of such theory. Goldsmith and Allan argued that the archetype of existing tribal peoples represented real-life working models of societies perfectly adapted to their long-term survival needs and the needs of the living world on which they depended. These tribal peoples alone, the authors contended, had demonstrated a viable means by which the most pressing problems facing humanity could be answered successfully (Goldsmith, 1977:138). The characteristics of such societies included small, human-scale communities, low-impact technologies, successful population controls, sustainable resource management, holistic and ecologically integrated world views, and a high degree of social cohesion, physical health, psychological well-being and the spiritual fulfilment of their members.

According to De Liefde (2007:12), tribes are powerful living and working communities that know how to transform a shared vision into a combination of fellowship and collective entrepreneurship. They embrace the view that the individual derives his meaning and his right to exist through being part of a community. It should be noted, however, that not all traditional communities are sustainable, although those that were not, tended not to survive! (Martusewicz, et al., 2011:81)

This focus on traditional communities has also given rise to concepts such as eco-localism, eco-justice and neotribalism. In eco-localism, community oriented values of stewardship, fidelity, propriety, sufficiency and neighbourliness reflects the perspective of *oikonomia*: “... the management of the household so as to increase its use value to all members of the household over the long term” as opposed to *chrematistics*: “... the manipulation of property and wealth so as to maximize short-term monetary exchange value to the owner” (Curtis, 2003:86). Eco-justice focuses on the obligations, practices and wisdom that exist in indigenous cultures that are necessary for a just and ecologically sustainable society (Martusewicz, et al., 2011:18). Neotribalism may best be described as a movement toward empathic, emotionally based interactions in social configurations (“tribes”) that go beyond individualism, motivated by emotional, communal and transpersonal reasons (Maffesoli, 1996:19). These “tribes” incorporate three essential characteristics namely social interaction, shared ties and common geographical location (Meltzer, 2005:2). This need for modern tribal groups is evident in places such as sporting and recreational events, exhibitions and markets, cultural projects, protest demonstrations and memorial services (De Liefde, 2007:11).

However, while First World tribalism or neotribalism is elective and even includes flows between different identities under different circumstances, tribal life for villagers throughout Asia, the Middle East, Africa, and Latin America is driven by considerations of personal and familial survival. For most people in the Third World, community is a method of existence, not an enriching ideal (Cole, 1991:12). In South Africa also, communities in predominantly rural areas followed a collectivistic way of live which made them in most cases self-sustaining (Coetzee & Du Toit, 2011b:2). The differences between these cultures are illustrated in Table 4-1.

Table 4-1: African tribal culture as opposed to Western culture

AFRICAN TRIBAL CULTURE	WESTERN CULTURE
Identity in relation to the environment	Individual stands alone
Interdependence	Independence
Co-existence	Individual existence
Co-evolution	Individual development
Complementary co-operation in communal interest	Competition in own interest
Permanent change through interaction	Incidental change through manipulation
Cyclical changes	Linear changes
Cultural stability	Cultural instability
Guiding of values and meanings	Guiding towards goals and results
Control through communication	Control through power
Equality	Inequality
Serving leadership	Hierarchical leadership
Social responsibility	Responsibility for yourself
Being human	Human capital

Source: De Liefde (2007: 81).

Mbigi asserts that the African philosophy of *ubuntu* is based on the notion that our personal survival and salvation lie in our shared destiny with others (2005:xvi). Archbishop Desmond Tutu (2004) describes *ubuntu* as “...the essence of being a person. It means that we are people through other people. We cannot be fully human alone. We are made for interdependence, we are made for family. When you have *ubuntu*, you embrace others.” *Ubuntu* epitomises communal fellowship, describing the collective interdependence and solidarity of communities of affection (Mbigi, 2005:69). Although *ubuntu* is a Zulu word that means *person-hood* (being a person through other persons) it is also found in many other African ethnic groups. *Ubuntu* reflects McMillan and Chavis' (1986:13) statement that “a strong community is able to fit people together so that people meet others' needs while they meet their own”.

While traditional tribal society may be idealised as the solution to the many ills besetting society today, a better approach would be to adapt the strategies of these societies to suit specific

circumstances as they relates to community-based planning, sustainable living and micro-development. Martusewicz *et al.* (2011:270) suggest that in particular the knowledge of people living in traditional societies should be respected; there should be a willingness to learn from them, existing technologies in tribal culture could be used for sustainable living, and it should be acknowledged that sustainable living is taught through practice. Zetter and Watson (2006:10) endorse this approach, stating that to design sustainable cities, people-based urban environments must be attuned to cultural precepts, must encode the history and collective identity of residents, must build on community-empowered models of design, and of course must be physically adapted to environmental conditions.

These parameters constitute praxis for the settlement design of communities in predominantly rural areas in the developing world: development which can adapt tradition to modernity in environmentally sustainable ways. They are the antithesis to current world economic trends with their focus on globalisation, which marginalises Africa and makes the management of cities that work effectively for their inhabitants' almost impossible (Freund, 2007:142). Using this approach, development professionals addressing development challenges should assess their role critically, particularly at micro-level; the nature of the relationship between change agents and the beneficiaries of development should be better understood, the value of alternative social research methods better appreciated, and lastly, all stakeholders in development should endeavour to better understand the meaning-giving local (micro-level) contexts in which development takes place (Davids, et al., 2009:110).

In applying the concept of *ubuntu* to planning for sustainable rural livelihoods, the foremost principle is the interconnectedness of all things. Other aspects of *ubuntu* and traditional African community that also have bearing on this matter are socio-political aspects that include collaborative leadership and community-based systems, ecological aspects (the view of land) and economic aspects (the economy of affection and agriculture).

In Figure 4-1, the chapters sections that encompass the discussions of traditional African community concepts as applicable to sustainable rural livelihood development, are illustrated.

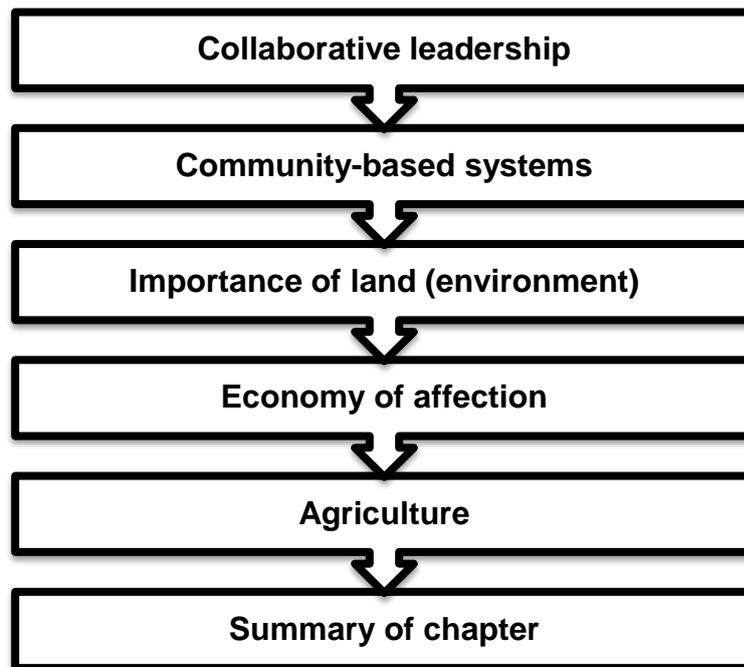


Figure 4-1: Chapter sections

4.1 Collaborative leadership

Ubuntu can provide a framework for developing collaborative leadership in community-based planning, where effective decision-making techniques are developed and implemented so as to foster a culture of doing things together in the spirit of harmony and service. As stated in Section 1.2, community-based planning aspires to interpret and analyse the social context of communities to thereby effect social action or “communicative action”. Transposing this approach to traditional African communities, it reflects the African adage that *Kgosi ke kgosi ka morafe* - “a chief is a chief through the people”. According to De Liefde (2007:55) African tribal culture operates according to democratic principles and is possibly one of the oldest democracies in the world.

Collaboration (and by extension collaborative leadership) entails a mutually beneficial and well-defined relationship between two or more persons, which includes a commitment to mutual relationships and goals; a jointly developed structure and shared responsibility; mutual authority and accountability for success; and the sharing of resources and rewards (Mattessich, et al., 2001:4). Collaborative leadership in particular can be evaluated in terms of several principles as laid out by Chrislip and Larson (1994:138-146):

- *Inspire commitment and action.* Power and influence help, but they are not the distinguishing features of collaborative leaders. The distinguishing feature is that these leaders initiate a process that brings people together when nothing else is working. They are

action oriented, but the action involves convincing people that something can be done, not telling them what to do nor doing the work for them.

- *Lead as peer problem solver.* Collaborative leaders help groups create visions and solve problems. They do not solve the problems for the group or engage in command and control behaviour.
- *Build broad-based involvement.* Collaborative leaders take responsibility for the diversity of the group and make a conscious and disciplined effort to identify and bring together all the relevant stakeholders.
- *Sustain hope and participation.* Collaborative leaders convince participants that each person is valued, help set incremental and achievable goals, and encourage celebrations along the way.
- *Servant leadership.* Collaborative leaders are servants of the group, helping stakeholders do their work and looking out to make sure those others' needs are met and that they grow as persons. "Servant Leadership" is an outgrowth of the leadership principles set out by Robert Greenleaf. Servant leaders aspire to "simultaneously enhance the personal growth of workers and improve the quality and caring of our many institutions through a combination of teamwork and community, personal involvement in decision-making, and ethical and caring behaviour" (Spears, 1995:2).
- *Leadership as a process.* Motivation and inspiration happen through the belief in the credibility of the collaborative process and good working relationships with many people.
- Collaborative leaders are rarely dramatic or flashy, and the leadership function is often shared among several people. Their *role is to facilitate the constructive interaction of the network, not to do the work for it.*

The principles of collaborative leadership, as stated above, are manifested in the pillars of tribal leadership, namely mutual understanding, communal awareness of needs, dignity in dealing with others, trust, mutual authority, respect and the belief that improvements in the situation of the community also result in individual improvement (De Liefde, 2007:24-29). For a more comprehensive understanding of how collaborative leadership functions in indigenous African cultures, Mbigi's (2005:106-108) description of chiefdoms provides a valuable context. Chiefdoms had four levels of governance, namely the chief, the inner council, the council of elders and the village assembly.

The chief was the political, social, judicial and religious head of the tribe and he had wide-ranging powers. He was assisted in governance by a small group of confidential advisers called the inner council, whose membership was usually drawn from friends and relatives of the chief, as well as key role-players from the community who were influential opinion leaders.

The inner circle served as the first test of legislation and decision-making. The chief would privately discuss with his inner or privy council all issues pertaining to the administration of the tribe and he could also consult his advisers – either before making a decision or before bringing an issue to the people. After raising an issue with his inner council, he could approach the council of elders.

The Council of Elders was a formal body with wider powers and was composed of hereditary headmen of wards or lineages. In essence the council of elders represented the people. In serious matters the chief would call for a meeting with this council and ask for its advice. Serious matters could include disputes, land issues and new laws. While traditionally the council mainly consisted of men, the TLGFA (2003) has transformed the composition of traditional councils to provide for elements of democracy (40% of members must be elected) and gender representativeness (one-third of the members must be women).

The council of elders had two major functions in indigenous African governance systems: it gave advice to the chief and assisted with administration, and it prevented the chief from abusing power by articulating dissatisfaction and offering constructive criticism. De Liefde (2007:58) avers that if the council came to the conclusion that the chief's decisions were no longer in the interests of the whole community, the chief would be removed from office. He lost his privileges and his decision-making power, and had to leave the community. The chief would inform the council of elders of the issue to be discussed and they would discuss it until consensus had been reached. The tribe always accepted the decision that was reached, since councillors had political legitimacy based on their hereditary profile, and they were usually respected and influential leaders of the community. If the council of elders could not reach consensus on an issue, the chief would then take the matter to the village assembly for discussion (*lekgotla*).

The village assembly (*lekgotla*) was the ultimate and final authority in matters of dispute (De Liefde, 2007:56). In indigenous African cultures, freedom of expression was an important characteristic of the village assembly, to the extent that even outsiders – such as visitors and strangers – were also allowed to express their views. Everyone participated in the *lekgotla* and the formulation of ideas with the acknowledgement of that they had a collective accountability and that communal interest should come first. The *lekgotla* would end with a decision in order to achieve results that were good for the community. Every person was free to participate in the

discussion without fear of victimisation, which resulted in the entrenchment of democracy in the indigenous African culture.

In the 1500s and onwards these chiefdoms were physically manifested in agro-towns (Freund, 2007:4). The structure of these towns resembled a series of villages based on descent and affiliation to a chief or elder with a distinct feature of the space for the *kgotla*, a communal and ceremonial meeting ground that virtually defines what community means in the African culture. It emphasised the community perspective of the tribe, namely tribal citizenship and individual empowerment (Mbigi, 2005:108). It also resembled what Goldsmith (1977:143) calls “the Gandhian ideal for a nation state as an association of ‘*village republics*’ loosely organised into larger social groupings, and in which economic activities were carried out on the smallest possible scale, so as to interfere as little as possible with the social and physical environment”.

While planners may be much more *au fait* with institutions which are formed and operated on the basis of voluntary reciprocal associations, they also need to understand the context of tribal authorities, as described above. While civil institutions based on neighbourhood, family and church mediate between the individual at the bottom of a hierarchical polity and the state at the top (Throp, 2001:90), the consensual African tribal environment is much more focussed on largely autonomous, collective self-management. Indeed, projects that have the most success in Africa have as one of their characteristics a well-established culture of collective self-management (financial and managerial) (Mwanyama, 2004:6). Planners should be aware of the customary rules in a particular area, the role and responsibility of the tribal authority, and the role and responsibility of local government (De Lange, et al., 2000:46).

The necessity of being aware of the relationship between tribal and local authority cannot be underestimated, considering that state administrations in areas such as peri-urban Central Africa have never fully come to terms with the importance of traditional authorities, and vice versa. According to Trefon, in peri-urban Central Africa, traditional authorities and state agents vie for power, access to resources and legitimacy, in an unending negotiation process characterised by “turf wars” and hard bargaining (2009:21). Relations at this level of authority tend to be characterised by conflict, even though a situation of fragile accommodation has been worked out. Appreciating the differences in traditional and state authority, as illustrated in Table 4-2, can contribute to negotiating this fraught environment.

Table 4-2: Differences between traditional and state authority

Traditional		State
Hereditary function of dominant landholding family	Power base	Constitution and political party affiliation
Autocratic and tradition based	Style of functioning	Bureaucratic and context oriented
Unchallenged leadership with sanctioning power	Role in internal conflict resolution	Formal authority related to public property, limited sanctioning power
Mobilising local resources: labour, cash and kind	Role in maintaining communal resources	Tapping external resources: contracts, subsidies, grants
Central	Role in village cultural life	Marginal
Long term, within generation cycles	Time horizon	Short term, 5 year election cycle

Source: Adapted from Baumgartner *et al.* (2004:339).

Tribal authority and government can work successfully together, however, as exemplified in Botswana. There, Parliament appeals to extra advisers and tribal leaders to involve their own people in their decisions and in this way these decisions have wide support that enlarges the decisiveness of the country (De Liefde, 2007:13). The mutual acceptance of this hybrid governance context by stakeholders at all levels makes consensus on the development direction of a community possible. The TLGFA (2003) in South Africa also makes provision for municipalities and traditional councils to achieve cooperative governance, as well as giving traditional councils a strong voice in development matters and enabling them to enter into partnerships and service-delivery agreements with government in all spheres. Nevertheless, in a situation characterised by ambiguity, opportunism, greed and strikingly stratified power relations, finding the means for reaching such a consensus remains an overwhelming challenge (Trefon, 2009:30-31).

As development facilitators, planners should avoid at all costs becoming involved in local politics. It remains a challenge to steer through the power struggles within a community towards development for the benefit of the marginalised, and this should be the development facilitator's stated position on political matters. If, despite all efforts, opposing factions cannot agree to work together towards development, it may be necessary to withdraw from the process (De Lange, et al., 2000:36).

An example of how tribal authority can effect self-development and affect positive social change can be found in the Philippine model of *barangays*. A *barangay* serves as a forum wherein the collective views of the people are expressed and channelled to senior levels of government, as the primary planning and implementing unit of government policies and programmes in the community and as a legal mechanism by which neighbourhood disputes are mediated by elected officials without drawn-out recourse to higher courts (Carley & Bautista, 2001:107). This is by virtue of the *barangay* government's immediate access to its citizenry, and its executive and legislative, and to some extent, judicial power, for example in the settling of community disputes. Because of its powers, the *barangay* council can enact as well as ensure the proper execution of laws that will spur development results. The *barangay's* capacity for self-development as described by Carley and Bautista (2001:118-119) consists of the following:

Table 4-3: *Barangay's* self-development capacity

- Working together with central government (through the Department of Interior and Local Government), which develops programmes and projects for implementation at the *barangay* level, in which case roles and responsibilities related to the particular project thrusts are spelled out in programme documents.
- Interacting directly with the MMDA to devise community waste management schemes and with municipalities to organise more efficient local service delivery.
- Fostering self-reliance among local communities.
- *Barangay* captains regularly meet with their corresponding city or municipal mayors to coordinate and collaborate on programmes and to agree on the allocation of resources from the municipality itself.
- Speeding action on matters of direct concern to communities (such as health protection, waste management, public order concerns and the settlement of minor disputes) as people actually living in and familiar with the communities are able to deal with concerns in a more direct and efficient manner.
- Engendering and enhancing a sense of and concern for community well-being, as *barangays* have developed distinct identities.

Source: Carley & Bautista (2001:118-119).

4.2 Community-based systems

As discussed in the introductory section to this chapter, sustainable tribal cultures (such as those practising *ubuntu*) tend to see things through the filter of family and community rather than the individual. In Martusewicz *et al.*'s (2011:82) view, the good of the community is placed above or equal to the good of the individual – and community means both the abstraction of the community as a whole and the concreteness of caring for the good of neighbours. These community-based systems are based on trust and engender sustainability through community-

based reward and compensation systems, community-based learning systems and appropriate rituals and ceremonies in communities that foster a sense of belonging.

The dimensions of community-based reward and compensation systems include the status in the community, the success of the community and the competence or capabilities of its other members (McMillan & Chavis, 1986:13). These non-material rewards ensure the continual motivation for members of a community (the tribe) to fulfil those familial functions that are required to ensure the survival and welfare of their families (Goldsmith, 1977:137). A negative example of this is when husbands leave their families in search of work; their absence often causes a break with culture and tradition and dislodges discipline within the family unit. The result is that parents have little or no status within the family unit and within the community (De Lange, *et al.*, 2000:xi).

Where community-based reward and compensation systems do not exist, co-operation between members of a group can be obtained only by offering people a financial reward or, if the enterprise in question appears to be too contrary to their immediate interests, by coercion. Hence, to ensure the group's day-to-day functioning, it must exploit forces which are external and random to the system (asystemic), and it can cause serious sustainability issues (Goldsmith, 1977:132). Dawson (2007:45) describes the specific principle at work here that, as long as behaviour patterns remain dominated by the notion of individuals and nuclear units operating largely independently of each other, external factors in the global economy will determine survival.

In contrast, a community (a tribe) has the power to aid its members to progress on the path of sustainable living. As an example, Mwanyama (2004:vii) describes the differentiation between two irrigation scheme projects' members: one composed of tribal members and another of non-related members. The study found that where there was a level of trust in the group composed of tribal members, responsibility was shared and management decisions were taken collectively. However, the other group, although willing to enjoy the benefits of the scheme, lacked the confidence to take responsibility for important decisions and depended on a prominent member (or on somebody with an elevated status) to make important production decisions. Consequently, the management of the scheme (and thus its sustainability) suffered because it was not sufficiently supported by a sense of collective responsibility.

Even in an urban context, communities are able to engage in creating viable indigenous living spaces, as illustrated by Freund in his discussion of the African city. He states that in the early 1970s "the parasites, the shack-dwellers and the unemployed women, instead of being seen as dragging down healthy forms of development in the city, began to be looked at as the authentic builders of Africa cities, as part of a process of development from below" (Freund, 2007:153-

155). He highlights places such as Kinshasa where the inhabitants for the most part live in *les annexes* (the outskirts), which have been created through negotiations with local chiefs. These *annexes* show very few urban characteristics but produce the music and the art for which the *Kinois* are famous. He also asserts that the Lagosian slum-dwellers' intricately linked (if poorly serviced) built environment serves their needs emotionally and sociologically, as well as economically. Zetter and Watson also argue that to design sustainable cities, primacy should be given to local communities and their capacity to articulate their socio-spatial needs in sustainable ways. According to their theory, the focus should be on assemblies of buildings and the spaces and places they create, typically found at the neighbourhood scale – localities where city dwellers experience and participate in the day-to-day rhythms and realities of urban life (Zetter & Watson, 2006:5).

Community-based systems are also the motivation behind the majority of migratory practices in Africa. According to Lynch (2005:125), circulatory migration is a key part of both household and individual livelihood strategies. Lack of access to land and credit facilities in urban areas, especially for low-income groups, inclines the migrant to maintain ties with rural areas for the purpose of accessing land, a very valued resource among African populations. Villagers, on the other hand, value strong ties with urban dwellers because they may need to rely on them for help. This strategy of households supports the statement of UN-Habitat (2014:236) that, despite some examples of strong social capital in urban areas, marginal urban poor groups are often more vulnerable than those in rural areas, mainly due to weaker social and economic support networks. In addition, Lynch (2005:133) confirms that in some cases rural communities are strengthening social ties and maintain and strengthen social links between urban and rural dwellers through the practice of ritual ceremonies, most often at the instigation of older women in villages.

African community-based learning systems are distinguishable from Western models in that they entail tacit knowledge transferral and relationship learning. They are based on the principles that African knowledge is community-owned, there are no divisions between knowledge disciplines (i.e. they are integrated and organic) and they are tacit rather than explicit in nature (i.e. they can only be transferred through practical experience based on relationships and trust between learner and mentor) (Mbigi, 2005:vii). Baumgartner (2004:339) states that local knowledge and know-how of rural families and communities are to an enormous extent embedded in their livelihoods in the form of tacit individual and collective knowledge. Experiential learning in these communities has a dominant role and constitutes the following (Mbigi, 2005:26-27):

- Learning by doing

- Learning is a collective effort
- Teach one and learn one
- Learning is a social process.

Appropriate rituals and ceremonies are used in tribal communities to foster a sense of belonging, thus maintaining non-commodified traditions which are a hallmark of sustainable communities (Martusewicz, et al., 2011:84). Evidence of how appropriate rituals and ceremonies can foster a sense of belonging in an urban context can be seen in the Ebrié settlements in and around Abidjan. Even though the post-war governments constructed blocks of flats for their employees, most people preferred to live in compounds together with a varied range of relatives and clients as well as their core family. Over time these Ebrié settlements evolved to give Abidjan a distinctive cultural feeling based on its *maquis*-restaurants and cuisine, its distinctive French jargon and its cosmopolitan character. These settlements were allowed considerable economic and planning autonomy in controlling their own development. This was despite the fact that the in the socio-political context everyone (except the Ebrié) was defined as outsiders who had their real home in some ethnic hinterland where they had ancestry (Freund, 2007:180).

Another African example where organisations with old rituals, ceremonies, histories and symbolic meanings foster a sense of belonging is in Nigeria. Africans not only bring associations into the city from the countryside, they create many novel forms of organisation, ethnic, religious and others based on other common interests (Bank, 2011:158). Many housing sections of mainland Lagos have evolved into liveable neighbourhoods characterised by varied forms of micro-enterprise; as well as gradually acquiring basic amenities. This is a result of the collective capacities of Nigerians to organise and regulate their lives “from below”. Some of the activities of the “Community Development Associations”, as they are known, include paving streets, regularly clearing and cleaning their surroundings (including dealing with the aftermath of flooding), maintaining public water pipes and taps, and devising vigilante security arrangements for dealing with the problem of armed robbery.

It is critical for a planner to be able to acknowledge and identify the rules and patterns of behaviour in community-based systems, which shape social interaction. The strength of the community, the general significance of the undertaking, the community itself and the land are the objectives the people work for (De Liefde, 2007:52). In addition, the interrelatedness of urban and rural communities in livelihood strategies, evidenced in migratory patterns is of key consequence (Lynch, 2005:31). Lack of access to land and credit facilities in urban areas, especially for low-income groups, inclines the migrant to maintain ties with rural areas for the purpose of accessing land, a very valued resource among African populations. Villagers, on the

other hand, value strong ties with urban dwellers because they may need to rely on them for help. Ignorance of this aspect of community-based systems would be neglecting an important resource (social capital) and it would significantly constrain development in rural communities (Mwanyama, 2004:6). Understanding and enhancing community-based systems could develop this social capital and aid in the establishment of sustainable rural livelihoods.

4.3 Importance of land (environment)

The importance of land has long been, and continues to be, central to the lives of most Africans, and to the politics and economies of African countries. According to Peters (2009:1322) land as a specific policy issue in Africa has been moved onto and off centre stage over the past hundred plus years. In the traditional African community environment land, particularly communal land, is valued both in tangible (the consumption of resources and the support of ecological service functions for other economic activities) and in intangible (cultural, spiritual, ceremonial, aesthetic) ways (Cousins, 1999). Also, it is characteristic of the culture of African tribes to think in cyclical processes, in which cause and effect are interchangeable factors (De Liefde, 2007:52) and which supports a sustainable view of land use. Its importance cannot be underestimated and the influence that the perception of land has had on traditional African communities' world view. As Mbigi (2005:99) states, members of traditional communities reason that "(l)and defines our sense of belonging, bonding, existence, life and wealth" and as an African a person's worth is directly related to his access to property. To understand the esteem in which land is held, it is necessary to consider the traditional community's view of land as well as property rights.

Land in the African culture is viewed as a gift from the ancestors and to lose this ancestral base is traumatic (Mbigi, 2005:xvi). As such, land also has spiritual value (Taylor, 1992:236). It is, however, more than just a matter of spiritual value. In the traditional African society members must also demonstrate a close affinity to land by knowing how to utilise it and how to care for it properly (Mbigi, 2005:100). This perspective reflects what Curtis (2003:86-87) describes as an economy that is circumscribed by values of propriety, affection, care and the human limits of knowledge of naturally heterogeneous lands. This perspective also directly influences how property rights are viewed.

In the Western world the idea of private property as a commodity developed in parallel with industrialization and urbanization, feeding back into and strengthening these two latter processes (Jenkins & Smith, 2001:21). This was preceded by an agrarian revolution (improving agricultural production to make food cheap through resource leverage and optimisation), as well as land reform and distribution (Mbigi, 2005:165).

However, land alienation and concentration was for a long time virtually absent in sub-Saharan Africa, as societies did not develop institutional mechanisms that tied rulers to a system based on the exploitation of land. Neither truly feudal societies nor the highly regimented small-scale agriculture as found in Asia developed, which proscribed the large-scale acquisition of land by individuals (Hyden, 1986:54). Instead, it was deemed that everyone must have access to land in Africa and that it is held in trust by the ruler and then allocated to the people. Tenure arrangements depended on social, legal and administrative institutions in a given society (Mwanyama, 2004:5).

In most African countries, land as an asset is characterised by being small, scattered and alternatively defined in terms of property rights (Mabogunje, 2000:165). The fundamental land rights of people include: the right to use; the right to transfer; the right to include and exclude; the right to improve, build and upgrade; and the right to security of tenure (Mbigi, 2005:101). However, these rights cannot be used to raise capital, which results in the marginalisation of land from the mainstream of economic transactions both in the urban and rural areas (Lesetedi, 2003:38). The NDP (2012: 204) recognises this issue, stating a need for security of tenure for small-scale farmers to leverage capital against the value of traditional arrangements for land use.

A solely individualistic property rights approach in southern Africa therefore does not reflect the traditional understanding of access to property, and the recognition of group or collective rights around land is an important extension of property rights acknowledgement. The SLSA Team (2003:22) proposes that a broad definition of rights, based on people's own conceptions, should be strived for, which is inclusive of cultural, religious and ethnic dimensions as well as material needs.

For planners, understanding the traditional African land tenure systems and the management of common property is essential when undertaking planning activities in traditional communities. Especially in rural areas, where access to land is critical to enable people to participate in activities that generate income (Vandemoortele, et al., 2013:x), it is necessary to understand that it may not always be prudent to disrupt existing tenure systems in order to establish successful projects (Mwanyama, 2004:5). For traditional communities, it is vitally important that culture is sustained so that they, as members of the community, can survive, often under difficult circumstances (Lynch, 2005:31). It is also the position of the DRDLR (2014b:102) that indigenous and constitutional institutions integrate the rural into municipal systems in partnership, and that a land use system model is adopted that responds to unique circumstances for rural areas. This substantiates Bryceson's (2000:6) assertion that land tenure is fraught with historically-ingrained equity issues that have to be carefully weighed against productivity concerns. In addition, planners should also be aware that community members

participating in projects may fear that outsiders (such as planners) may exploit them and rob them of their land, which relates to South Africa's history of forced removals as well as land acquisition in the former homelands for agricultural projects (Ndabeni, 2013:7).

The history of land tenure systems in Africa and elsewhere indicates that communal and customary tenure can play a positive role in reducing poverty and vulnerability. Access to communal lands is an important safety net, and allows many people to survive who otherwise would be forced to migrate to the cities, there to become part of the urban unemployed (Hall & Du Toit, 2011). In addition, ownership of land can increase the opportunities for women to be empowered and significantly participate in decision-making processes (Premchander & Chidambaranathan, 2004:237). Supporting this approach, the NDP (2012: 204) states that gender should not be an inhibiting factor in land ownership.

4.4 Economy of affection

The existence of an economy of affection can most probably be ascribed to the essential characteristics of community (such as those found in traditional cultures), identified by Meltzer (2005:2), namely social interaction, shared ties and common geographical location. Clayton (1983:75) observes that the social groupings of rural communities are spatially circumscribed, often on a clan or sub-clan basis and exist closely within a social context. These micro-communities tend to have an identity of purpose and of interests cemented by a uniformity of activity and a structure of customs and mores which provides an enviable degree of social cohesion and stability (Clayton, 1983:75).

This social cohesion and stability lends itself naturally to the establishment of an "economy of affection", premised on the presence of structural opportunities for development through horizontal expansion, both economically and socially, within known and acceptable networks. Hyden (1986:57-59) considers the motto of the economy of affection to be "diversification pays": an inclination to spread the risks or maximise the opportunities for gain characterising the prevailing survival strategy in Africa. The result is that the politics of affection is characterised by investments in patronage relations at all levels. In rural areas, for instance, a head of a household would rather invest in many small plots of land operated at low productivity to provide for his or her family than focus on one or two and maximise their productivity. Lynch (2005:133) avers that many of the social networks connected to an economy of affection appear to have a rural focus, even though poor households are engaging in strategies that involve inhabiting space in both urban and rural areas. In Africa, subsistence production is an important backstop for both rural and urban dwellers and urban dwellers adjust their livelihood strategies to ensure continued security of tenure over their backstop subsistence plot.

The economy of affection, however, is not only evident in predominantly rural areas but also extends to the urban environment, as evident from the description in Section 6.2 regarding the complexity of 'rural' space. Hyden (1986:57-59) describes a few examples such as that of the business entrepreneur who, in order to safeguard his own position and respond to the affective pressures of his home community, tends to invest in many small enterprises which absorb labour at low levels of productivity rather than the improvement of productivity within one or two operations. The economy of affection also has a particular gender dimension, especially in relation to livelihood survival strategies. One study relating to food insecurity in Zimbabwe, asserted the critical role that women had to the survival of most households in Harare, by forming 'food clubs' by pooling their resources (Tawodzera, 2012:307). Also, UN Habitat (2014: 87) has found that in slums and informal settlements, women often bear the greater responsibility of ensuring that the socioeconomic needs of the community are met.

The influence of the economy of affection on the urban-rural interface is also evident in the occurrence of remittances. Urban migrants almost invariably claim that they plan to retire in their home villages (South Africa. Department of Human Settlements, 2009). Consequently they remit considerable amounts of money not only to sustain the family members left on the land but also to invest in agricultural expansion and improvement. Moreover, migration patterns between rural and urban South Africa can be closely linked to rural social networks Lynch (2005:125).

Similar examples of an economy of affection can be found in other parts of the world. The social organisation that takes place on the fringes of Beijing and elsewhere in China has resulted from the reintroduction of markets to the Chinese economy and provided opportunities for new forms of development to emerge such as Zhejiangcun and other migrant villages. The construction of these villages (called *da yuan* or informal villages) is financed in two ways, either by money pooled by a group of three or four successful businessmen or through prepaid rents (it is quite common for a compound's developers to collect rent before the building is complete) (Throp, 2001:99). In Zhejiangcun social facilities have been developed by individual migrant entrepreneurs. In the largest *da yuan* within Zhejiangcun, services such as day-care centres, beauty salons, grocery stores, telephone services, clinics and entertainment facilities are run mostly by the families of the developers (Throp, 2001:100). This amounts to a form of economy of affection.

To emphasise the advantages that an economy of affection can have with respect to economic growth, Hyden (1986:59) points to the example of Latin America. Although urban-rural remittances are generally less extensive in Latin America than in Africa, studies from that continent show how the economy of affection provides the basis for survival strategies of the poorer segments of the population. The Latin-America example shows that societies organised

along the lines of an economy of affection can achieve quite impressive economic results but that their social and political structure tend to be fragile and, if damaged, hostility among groups is likely to be both strong and difficult to overcome.

4.5 Agriculture

As emphasised earlier, in *ubuntu* the interconnectedness of all things is emphasised, and nowhere else is this more evident than in the agricultural system of the traditional African community. Collaborative (tribal) leadership, community-based systems, land's having a tangible and an intangible value, and the economy of affection all result in a multiplicity of agricultural systems. Added to this multiplicity is the influence that the high degree of autonomy from other groups and institutions in society has on most African farmers (Hyden, 1986:55). This context must be evaluated when considering agriculture as the principle economic sector that can be used for sustainable development in Africa. As Johnston (1986:160) states, small-farm strategies have significant economic advantages because of the fit between the resource requirements of such strategies and the resource endowment that characterises late-developing countries where the bulk of the population still depends on agriculture for employment and income.

While formal education at specialised institutions has become an important factor in commercial agriculture in the past few decades, smallholder farmers have had little if any access to new technology, which is at any rate often not suited to their circumstances (De Lange, *et al.*, 2000:iv-vii). Mbigi (2005:100) believes that support for specific focus areas would promote economic growth in Africa, namely emphasis on the role of peasant farmers, emphasis on the role of female peasant farmers and emphasis on regional economic integration.

Furthermore, there should be a realisation that the complex farming and livelihood systems within which rural communities exist are multiple, diverse and dynamic, and often aimed at managing risk, reducing vulnerability and enhancing security (Cousins, 1999:300). Members of these communities tend to be involved in various agricultural and non-agricultural activities as part of their strategy to fulfil their food needs and cash requirements (Mwanyama, 2004:v, 4). In addition to agricultural activities such as rain-fed farming, livestock rearing, poultry production, etc., community members also engage in many other small business activities such as sewing, selling drinks, constructing roofs, baking, etc. as well as relying on pensions, disability grants and claiming through social networks. Through diversification these households are able to buffer themselves against risk in agrarian environments as well as (hopefully) to generate an adequate and sustainable livelihood (Lipton, *et al.*, 1998:19).

Accordingly, if and when productivity gains take place due to structural adjustment, this may not necessarily translate into a greater willingness to engage in surplus agricultural production but instead may lead to a reallocation of household labour to off-farm activities (Bryceson, 2000:1). This is the motivation for most urban migrants, who almost invariably claim that they plan to retire to their home villages (as mentioned earlier) and consequently remit considerable amounts of money not only to sustain the family members left on the land but also to invest in agricultural expansion and improvement (Hyden, 1986:57).

The increase in the diversification of traditional rural societies as described in the previous paragraph can be attributed to the growing pressures of the world economy (Dixon, 1990:49). While African farmers today are engaged in commodity production, usually for world markets, their systems and modes of production remain pre-capitalist in nature, characterised by low productivity levels per unit of land (Hyden, 1986:54). Traditional rural societies have evolved agricultural systems in which limited technology is applied to enable the needs of subsistence and limited exchange to be sustained over long periods of time. Over time these systems are capable of adapting to the growth of population, the introduction of new crops and techniques, and to a degree of commercialisation (Dixon, 1990:35).

However, Third World agricultural systems have come increasingly under pressure as they have been incorporated into the world economy and this incorporation disrupted or destroyed established mechanisms for coping with harvest failure, population growth and the need for surplus production (Bunce, 1982:193-194). This has led to the extension of rural households to urban areas as a means of survival and hence the urban-rural hybrid system so characteristic of African cities (Hyden, 1986:62). To highlight the existence of this hybrid system, Trefon (2009:28-29) points to three examples, namely agricultural activities, fuel wood harvesting and coal production, and animal husbandry.

The foremost economic activity illustrating the hybrid system is agriculture in nature. However, agricultural activities in urban transition zones areas differ from those in rural areas mainly in the methods used for production, with farming in urban transition zones taking place on smaller plots and using improved seeds, insecticides and chemical fertilizers that are acquired in town, for example. The second example is evidenced by the urban transition zone deforestation and land degradation that takes place, notably around the larger urban areas. This is mostly the result of fuel wood harvesting and charcoal production. Thirdly, animal husbandry also occurs and although pigs and chickens are farmed primarily, ducks are also produced. The conditions in which this takes place range from village-like practices where animals roam around freely and feed themselves to semi-industrial systems where they are bred in pens or cages and nourished with commercially purchased feed and treated with veterinary products purchased in town. A

very serious handicap to these initiatives, as well as to urban transitional zone agriculture, is widespread theft.

When planners develop a strategy for sustainable livelihoods, knowledge of the complex farming and livelihood systems of traditional communities as presented above is extremely useful, specifically when the view held by members of these communities is that farming is their main employment and the most important contributor to family income. For Goldsmith (1977:140), the answer lies in focusing on the development of intermediate technologies at village level and the provision of agro-ecological training teams so that communities can be taught to manage the land together. Others, like Bank (2011:160), propose that economic activities normally associated with village life be promoted in the urban setting, such as urban transitional zone farming.

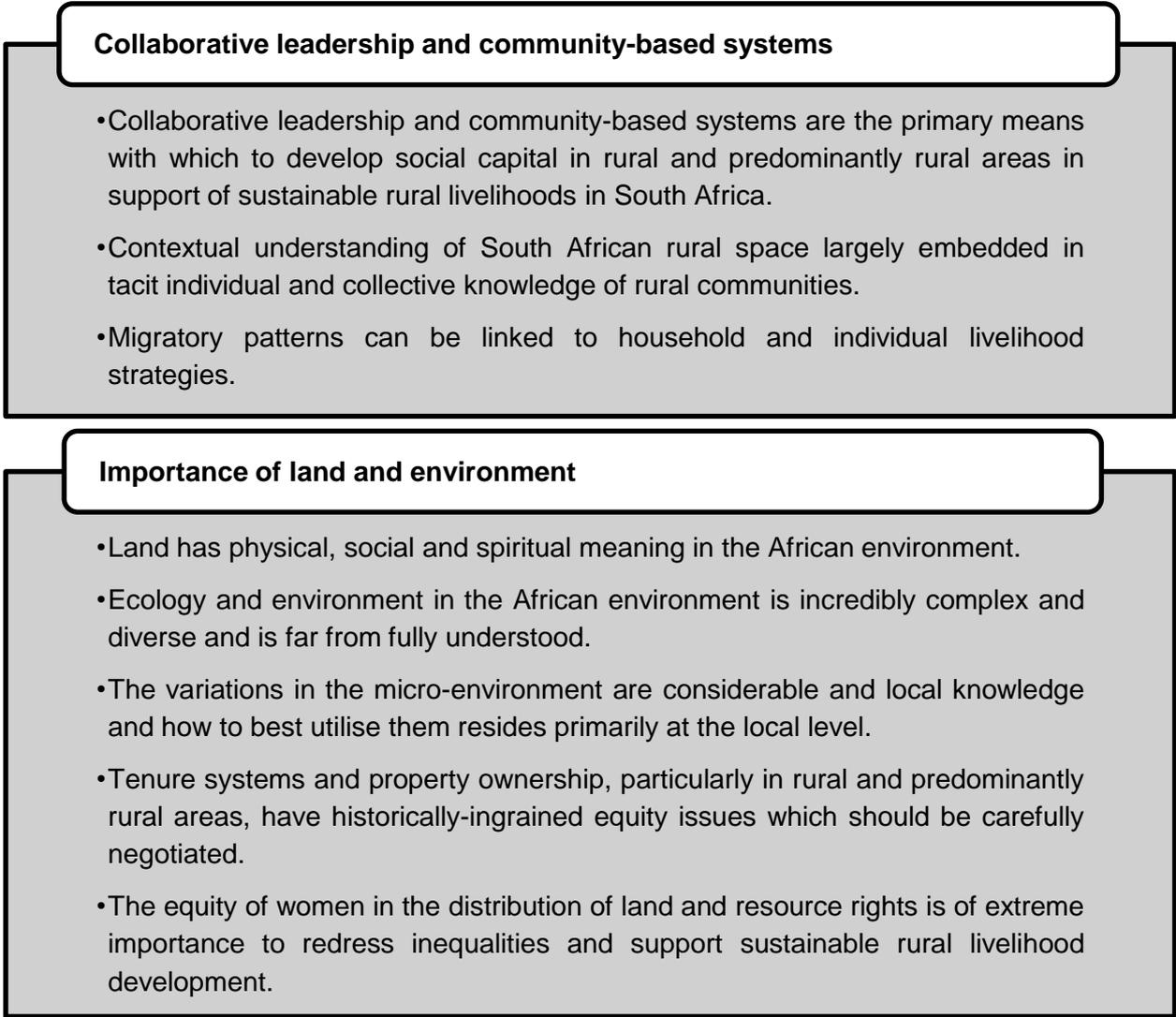
Peri-urban farming in Kinshasa as described by Trefon (2009:28-29) illustrates this approach. Three main types of space are used for urban transitional zone farming, namely farming within the house lot, just beyond the village limits and (increasingly due to soil fatigue) farther and farther into the village outskirts referred to as forest by farmers outside of Kinshasa. The types of crops grown and their ultimate use (for sale or family consumption) determine where they will be grown. Vegetables for household consumption are grown on the house lot, supplemented by staples grown beyond the village limits. Market gardening takes place on perennial space in proximity to the village to grow for the urban market. Farming in the forest is also largely destined for commercial purposes and takes place on large plots of up to one hectare. All work is labour intensive and carried out with rudimentary tools. A fourth category of agricultural space is the plantation, ranging in size from between five and thirty hectares. These considerably larger plots are owned by urban elites and exploited exclusively for commercial purposes.

An important factor when discussing agriculture in the traditional community environment is the role of women farmers. Usually, rural development programmes assume that every household has a male head who is also the “farm manager”, which often does not reflect reality, particularly in much of sub-Saharan Africa and the Caribbean. De Lange *et al.* (2000:xi) state that in the former region it has been estimated that as many as one third of rural households are headed by women. In addition, even where there is an identifiable permanent male “head of household”, cultivation, particularly of subsistence crops, may well be a female activity. Dixon (1990:107) estimates that for much of Africa women probably contribute 60 to 80 per cent of the labour and management that goes into crop production. The inclusion of and focus on women is therefore essential when compiling and implementing rural development programmes. As an example, the presence of an irrigation scheme generally increases the workload of women, because activities such as transplanting, harvesting and levelling are burdens of women, as is the extra

weeding that result from applying water in these schemes. Where irrigation schemes showed special consideration for women, their performance has increased (Mwanyama, 2004:4). Van Koppen (2002:73) also stresses the importance of the inclusion of women at farm and forum level in Asia, Africa and Latin America to enhance productivity. The BOMA Project in Kenya (referred to section 6.4) also argues for a women-centred approach to development.

4.6 Summary of chapter

As stated in Section 1.2, community-based planning aspires to interpret and analyse the social context of communities to thereby implement sustainable rural livelihood. The specific concepts and issues arising from the preceding discussion in this regard are summarised in Figure 4-2.



Economy of affection and agriculture

- Economy of affection is crucial to the survival strategies of communities, both in urban and rural areas.
- Agricultural activities form a central part of the complex livelihood systems of rural and predominantly rural communities, although it is also a part of urban migrants' survival strategies.
- Access to agricultural land should be promoted, based equally on efficient use and social equity, as well as recognise the important economic role of subsistence agriculture.

Key issues

- Planning for sustainable rural livelihoods must correspond with the complex rural environment in South Africa; otherwise communities will not accept or support it as equitable.
- Planning proposals should take into consideration that rural livelihood strategies influence urban spaces and vice-versa, through rural-urban linkages and migratory practices.
- There is a vast opportunity to capitalize on the economy of affection in order to establish sustainable rural livelihoods.
- Rights of land tenure and water use are difficult to resolve but are crucial to the sustainable use of resources.
- In particular, the rights to land and resources for rural women must be supported.

Figure 4-2: Summary of chapter

Source: Own construction (2015).

CHAPTER 5 PLANNING FOR SUSTAINABLE RURAL LIVELIHOOD

As discussed in the previous chapter, the most suitable scale for planning sustainable rural livelihoods in South Africa is at micro (village) level. Concurrent with this approach, is the active participation of the community to ascertain the nature of their livelihood system, as it cannot be fully explored from the outside (Högger, 2004:37). The concept of sustainable rural livelihood development is essentially an indigenous process which conceptualises self-reliance, and is predicated on the optimal usage of the assets and capabilities of a village community with the purpose of satisfying their needs (Taylor, 1992:233). It is also a view supported in the policy and legal framework in South Africa, for instance the emphasis in the RDP (1994) and other subsequent policies and legislation which promote active citizens who participate meaningfully in the planning and development of their immediate environment. An essential component of this approach is community-based planning.

Community-based planning is an expression of the “communicative action” approach to planning as exemplified in the work of Jürgen Habermas (1981) and developed further by authors such as Healey (1996, 1997, 2000), Hoch (1984, 1996) and Innes & Gruber (Innes and Gruber (1999)). Its core principles are the recognition of the social construction of mental models and knowledge, and of the diversity of interests and expectations on the one hand and of the fact that these are the result of social context on the other. Community-based planning aspires to transpose these tenets to the reality of planning, interpreting and analysing the social world of communities to thereby effect social action or “communicative action”.

When examining the planning approaches followed in South Africa, community-based planning (a derivative of “communicative action”) is expressed most vividly by the Integrated Development Plan (IDP) process. The IDP process aims to coordinate the work of local and other spheres of government into a coherent plan to improve the quality of life for all the people living in an area, by enhancing development and service delivery, improving governance and deepening democracy. This is in accordance with Section 25 of the Municipal Systems Act (2000), which requires municipalities to adopt a single, inclusive and strategic plan for the development of the municipality. To reach these intended goals an extensive planning process is required, necessitating the best possible efforts in role player identification, mobilisation, and agreement processes. For these reasons the IDP process exemplifies the communicative action approach to planning in South Africa.

The ideal of communicative action in the planning processes of South Africa, as conducted in communities through the IDP process, has not yet been attained, however. This conclusion is evident when the IDP process is measured against the elements necessary for achieving

success in community-based planning processes (which are similar to the IDP process). These elements, listed by Agranoff and McGuire (2003:1418), include *inter alia*: (1) good timing and clear need, (2) strong stakeholder groups, (3) broad-based involvement, (4) credibility and openness of process, (5) commitment and/or involvement of high-level, visible leaders, (6) the support or acquiescence of elected officials and organisation executives, (7) an ability to work through trust as well as scepticism, (8) achieving interim successes, and (9) an ultimate shift to broader concerns. The “failure” of this process can in large part be ascribed to the existing power relations between the different participants in the IDP process (Gibbens, 2008:121). In addition, there still remains an expectation of outcomes and processes based on traditional ways of working (i.e. disregarding the effect of power relations and emphasising rationality), instead of understanding the realities of networks within communities (Keast, *et al.*, 2004:365). Evidently, then, the acknowledgement of the realities of networks in, as well as the empowerment of communities, can significantly contribute to maximising the benefits of community-based planning processes (such as the IDP process).

The empowerment of communities in community-based planning is an expression of what Dale (2004:183) calls “at heart a philosophy”, embedding the belief that “it is the right way to conduct oneself with other human beings”. It entails treating members of a community with respect and sensitivity for the significance and potential of local knowledge that can be used in development thrusts within the respective local environments. It constitutes a morally-informed theoretical framework for development policy that meets the needs of its recipients rather than of its makers. As Friedmann (1992:13) contends, poverty is not only material want, but also social, political and psychological “powerlessness”. He argues for empowering the poor in their own communities both economically and psychologically, developing their capacities and their determination to claim their rights. In doing so they can also become vehicles, albeit imperfect, for helping to link local action back into national and structural change. Goldsmith furthermore contends that community-based planning is essential if people are to accept responsibility for the solutions to their problems (1977:137). Frequently, however, communities do not have the ability to build their own capacity and empower themselves to meaningfully participate in planning processes. Various authors, including Farrington *et al.*, (1993), Nel & Hill (2000), Dale (2004), Zetter & Watson (2006), stress the role that NGOs can have in this matter. In the following sections of the chapter (as illustrated in Figure 5-1) the concept of community-based planning, and the concurrency of the empowerment of the community, are considered in more detail.

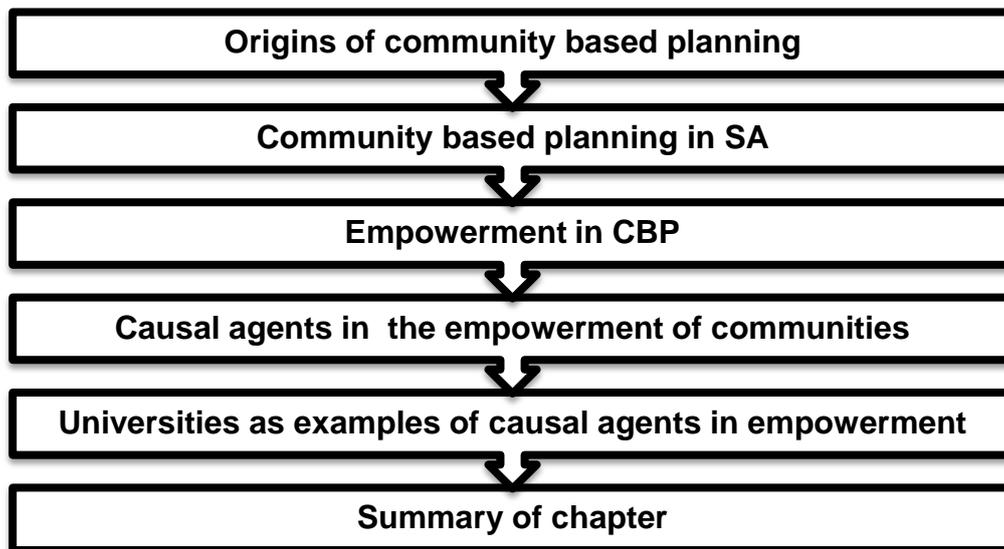


Figure 5-1: Chapter sections

5.1 Origins of community-based planning in planning theory

Over the last two to three decades there has been an epistemological shift in planning theory from a predominantly rational-instrumental approach to a more communicative approach that both describes and prescribes planning work. In broad terms, communicative planning can be seen as a reaction against planning in terms of positivist social science, specifically the classical instrumental rationality approach to planning (the so-called “blueprint”/master plan approach) that came into being after the Industrial Revolution (Flyvbjerg (1998b), Kumar & Paddison (2000), Yilmaz (2003) and Innes & Gruber (2005)). According to Yilmaz (2003), the rational planning paradigm is best denoted by its claim to universality and certainty and its scorn for local knowledge. In contrast, the post-positivist epistemology (which includes the communicative approach in planning) aspires to address the weaknesses of purely instrumental rationality, by developing a paradigm with a broader conception of rationality, and which is also relevant in a more interconnected and complex world (Yilmaz, 2003:27-28).

Communicative planning as an interactive, communicative activity forms part of a normative theory based on the work of Jürgen Habermas (1981). His vision of “communicative action in planning” focuses on creating an ideal speech situation, where different interests should take part in undisturbed communication in order to reach a consensus concerning goals for, and the formation of, the planning process (Flyvbjerg & Richardson, 2002:46). In other words, Habermas developed the concept of communicative reason based on inter-subjectivity and a free and equal participation of parties to a dialogue. It establishes the concept of drawing upon and spreading the range of interests and “knowledges” in communities, and of doing so through collaborative consensus building rather than competitive interest bargaining, thus embedding planning practice in its social context (Jenkins & Smith, 2001:25). This change in focus gained

momentum especially during the last quarter of the previous century. Proponents of the communicative turn in planning include authors such as Healey (1996, 1997, 2000), Hoch (1984, 1996) and Innes & Gruber (see Innes and Gruber (2005) and Innes & Booher (1999)).

Key elements of the communicative approach to planning (otherwise known as “collaborative planning”) are summarised by Patsy Healy, whose viewpoint is that communicative rationality is the only viable alternative to “idealist fundamentalism” (Healey, 1996:262). These elements involve the recognition of the social construction of mental models and knowledge, and of the various forms reasoning can take, and the recognition of the diversity of interests and expectation on the one hand and of the fact these are the result of social context on the other. Healey further augments the discussion of communication theory in planning by drawing on Anthony Giddens (1982) and his understanding that relationship dynamics are constantly recreated through mutual exchange; "we are culturally made or socially constructed, and at the same time makers of cultures and social structures" (Healey, 1997:46). She also emphasises how systemic constraints, such as power inequalities and institutional practices, can inhibit collaborative planning (Healey, 1997:120).

For a concise statement of the principles underlying the communicative approach to planning, the summary of Davids *et al.* (2009:113) as set out in Table 5-1 suffices.

Table 5-1: Principles of communicative action in planning

- Sovereignty resides with the people, who are the real actors of positive change.
- The legitimate role of government is to enable the people to set and pursue their own agenda.
- To exercise their sovereignty and assume responsibility for the development of themselves and their communities, the people must control their own resources, have access to relevant information and have the means to hold the officials of government accountable.
- Those who would assist the people with their development must recognise that it is they who are participating in support of the people's agenda, not the reverse. The value of the outsider's contribution will be measured in terms of the enhanced capacity of the people to determine their own future.

Source: Davids *et al.* (2009:113).

Community-based planning (CBP) epitomises the approach to planning advanced by the communicative action construct. Community-based planning in this regard can be divided into three broad categories (as per Dale, 2004: 55-57), namely customary community-wide planning, participatory community focussed planning, and group-based planning. Customary community-wide planning can be equated with the “master-plan” approach to planning carried out by municipalities for the community. However, the community's interests and views are still

incorporated (albeit indirectly) through representation and commonly also through additional direct involvement in specific situations or for specific purposes.

The second approach in which local-level planning takes place is participatory community-focussed planning, which can be compared to the IDP process currently implemented in South Africa, where communities are involved through a range of participatory methods in problem analysis and prioritisation in the planning process. According to Davids *et al.* (2009:19), this encompasses participation in decision-making, the implementation of development programmes and projects, the monitoring and evaluation of development programmes and projects, and sharing the benefits of development.

The third category of community development planning may be referred to as group-based planning. Chrislip and Larson (1994:xix) describe this approach by stating that although its stated purpose is to reach tangible results, it usually also empowers citizens and in many cases creates a new civic culture and a deeper sense of connectedness.

5.2 Community-based planning in South Africa

The history of community-based planning in South Africa (as currently exemplified by the local government IDP process) is inextricably linked to the history of democratising South Africa. The foundation for the integrative aspect of IDP, however, was already laid in the 1930s and 1940s with the import by British planners of the regionalism/holism concept of Geddes, Mumford *et al.* (Harrison, 2001:180). The conceptualisation of integrative planning was further developed in the 1960s and 1970s by procedural rationalism and systems theory, and neo-Marxist planning in the early 1980s, which situated it in a social and economic context (referring to “racial capitalism” and the history of urban development). During the late 1980s, various planners and NGOs in South Africa became increasingly disillusioned with South Africa’s instrumental rationality approach with its “blue print”/master plan approach, particularly as it related to its physical and control-oriented nature to support the implementation of the apartheid system. This resulted in a reaction to and a protest against government policies (Coetzee, 2005:42).

With the democratisation of South African society in the early 1990s, an approach different to that of the existing rational paradigm was sought in order to redress the inequalities of the past. Towards this end, the first step to be taken could be identified as the Reconstruction and Development Programme (RDP), which was launched as an ANC policy document even before the democratisation of SA. In September 1994 it was formalised as the government’s White Paper on Reconstruction and Development (Binns & Nel, 2002:921). By 1995 integrated development planning was being promoted by the Reconstruction and Development Programme office and had emerged as a distinct approach to planning in South Africa. At that

time IDP was conceived mainly as a tool to support the coordinated delivery of reconstruction and development by national and provincial government departments, but it also laid the foundation for later legislation dealing with integrative planning at local government level (Harrison, 2003). However, with the closure of the RDP Office in 1996 the focus shifted primarily to the role of IDP in the local sphere of government (Binns & Nel, 2002:921; Mackay, 2004:39-40).

The ensuing course of the institutionalisation of integrated development planning has been outlined by Pycroft (2000) and Harrison (2001). Harrison (2001) points out that the “first round” of integrated development plans, prepared under the Local Government Transition Act, Second Amendment Act (1996) during the “transitional” phase of local government restructuring, was subject to various shortcomings and limitations. The initiation of the current “final” phase of local government restructuring, marked by the December 2000 local elections, was conducted within the legislative framework established by the Local Government Municipal Demarcation Act (1998) and the Local Government Municipal Structures Act (1998). In addition, the passing of the Municipal Systems Act (2000) and the second local government demarcation in 2000 laid the basis for the present round of IDPs. “Wall to wall” local municipal boundaries were introduced in terms of Sections 21 and 23 of the Local Government Municipal Demarcation Act (1998) and, outside of the six metropolitan areas, a two-tier system of district and local municipalities existed. The purpose of the two-tier system of local government was to address the limited capacity of many newly created rural municipalities, with district municipalities providing support to local municipalities (South Africa. The Presidency: National Planning Commission, 2012:432). The IDPs for these municipalities were intended to serve as a catalyst for growth and development, and as such the IDP is the single most important strategic and policy intervention to make government work at grass-roots (Davids, et al., 2009:132).

In laying the groundwork for integrative planning (and IDP) in South Africa, the RDP recognised as fundamental to development the empowerment of people through participative governance and having the process driven by the recipient community so that its sense of control and ownership would be enhanced (Nel & Hill, 2000:198). In addition, it allows those suffering deprivation a greater voice in setting priorities, influencing resource allocation, preventing measures that threaten their livelihoods and gaining access to justice (Dalal-Clayton, et al., 2003:161). The crux of the relationship between the public and the state is the IDP and its roles as a framework for mobilising the public, by recognising the linkages between development, service delivery and the participation of local citizens (Davids, et al., 2009:132). This perspective reflects the current philosophy in both developmental planning and spatial planning, and relates directly to the communicative approach in planning (Pieterse, 2004:7; Todes, 2004:858).

The significance for the current South African government of pursuing participative governance (as opposed to previous non-participatory practices) is evident in several of pieces of legislation promulgated since 1994, of which the South African Constitution (1996) is the foremost. In terms of the roles of national, provincial and local spheres of government set out in the Constitution, municipalities must encourage the involvement of communities and community organizations in local government (Section 152 (1) (e)), and in terms of the basic values and principles governing public administration, people’s needs must be responded to, and the public must be encouraged to participate in policy making (Section 195 (e)). Principles guiding public participation are set out in the White Paper on Local Government (1998) and listed in Table 5-2:

Table 5-2: Principles for public participation

- It must ensure political leaders remain accountable and work within their mandate;
- it must allow citizens (as individuals or interest groups) to have continuous input into local politics;
- it must allow service consumers to have input on the way services are delivered; and
- it must afford organised civil society the opportunity to enter into partnerships and contracts with local government in order to mobilise additional resources

Source: White Paper on Local Government (1998).

In addition, almost all of the legislation that is directed towards regulating service delivery in local government put community participation at the core of such delivery. Instances are the White Paper on Reconstruction and Development (1994), the White Paper on Transformation of the Public Service Delivery (Batho Pele) (1997), the Local Government: Municipal Structures Act (1998), the Local Government: Municipal Systems Act (2000), the Local Government: Municipal Finance Management Act (2003), the Local Government: Municipal Property Rates Act (2004), the Guidelines for the Establishment and Operation of Ward Committees (2005), and the Draft National Policy Framework for Public Participation (2007).

As can be concluded from the above, the contribution of public participation to planning processes is considered extremely significant in the legislative environment of South African governance. It aims to be “subsidiary,” as defined by Munasinge (2009:45); that is, it aims to decentralise decision-making to the lowest (or most local) level at which it is still effective. However, community-based planning is not a panacea for promoting participation, representation and empowerment of marginal groups. Several constraints exist, of which the foremost is that a “culture” of public participation has not yet been truly established in South Africa (Davids, et al., 2009:132). Policy guidelines can only create the space for public participation to take place, but authentic and empowering public participation will become a reality only if it becomes a “process generated from within” (Davids, et al., 2009:132). Some of

the other constraints to meaningful community-based planning are listed by Dalal-Clayton, *et al.* (2003:161) and summarised in Table 5-3.

Table 5-3: Constraints to community-based planning

- Community members lack time and energy to invest in local politics.
- Community members distrust and are cynical about government authorities – central or decentralised.
- Lack of contact between authorities and communities, due to distances between villages and administrative posts and the often large size of local authority areas.
- Government emphasise participation without concomitant increase in rights and income possibilities – *participative burden*
- Lack of effective representation of community interests.
- Appointment of leaders by central government.

Source: Dalal-Clayton, *et al.* (2003:161).

5.3 Empowerment in community-based planning

Empowerment in community-based planning reflects the highest level of engagement with communities, where one-way information flow (protesting, informing) is succeeded by an information exchange process (consulting, involvement, collaborating and empowerment) (Davids, *et al.*, 2009:128). Empowerment, as defined by the Cornell Empowerment Group (1998), is an intentional, ongoing process centred in the local community, involving mutual respect, critical reflection, caring and group participation, through which people lacking an equal share of valued resources gain greater access to and control over those resources (Meltzer, 2005:2).

In South Africa, the empowerment of community members is viewed as a critical aspect of the IDP process, particularly the empowerment of the poor and marginalised, and it has to happen simultaneously with the integrative aspect of the IDP process. The South African Local Government Association (SALGA) (2001:2) specifically states that one of the primary goals of the IDP process is the empowerment of community participants. Furthermore, the White Paper on Local Government (1998:20) emphasises that municipalities must particularly encourage the equal and effective participation of marginalised groupings such as women by including strategies aimed at removing obstacles to and actively encouraging their participation in local government.

Empowerment is more than engaging with communities in a particular manner, but it is also a vital component in ensuring the development of sustainable rural livelihoods. Sustainability will be increasingly in the hands of communities themselves and will depend on their capacity for

self-management, rather than “in the hands of people and organisations that are interested in maintaining subordination of community organisation and social movements” (Smith & Valverde, 2001:137). The Millennium Village project views empowerment through community-led development as absolutely critical to its success, stating that villages themselves must contribute significant time, skills and resources (Millenium Promise, 2006).

Building local capacity of local communities to determine their own needs and development aspirations enable to establish their priorities, bring them into the public domain and negotiate plans and action to realise these priorities (Dalal-Clayton, et al., 2003:193; Zetter & Watson, 2006:15). Empowerment of communities in a micro-development context in support of sustainable rural livelihood development, enables people to have a voice and “get what they need”, without challenging existing power structures (Taylor, 1992:249). As a result, the combination of empowerment with the concept of good governance in community-based planning should be able to assist central government and/or supporting institutions/NGOs to facilitate successful local initiatives with limited, targeted and appropriate action (Nel & Hill, 2000:228).

Empowerment, moreover, does not only bring people into the decision-making process (“power to”), it is also the process that lead people to perceive themselves as able and entitled to occupy the decision-making space (“power from within”) (Davids, et al., 2009:21). A local illustration of this principle in action can be found in a study of community-driven economic development, land tenure and sustainable environmental development in the Kat River Valley by Nel and Hill (2000). This study asserts that the empowerment and raised consciousness achieved through the PRA (Participatory Rural Appraisal) workshops was significant, especially given the magnitude of the marginalisation and disempowerment prevailing in the former homelands of South Africa. The workshop process enhanced the confidence levels of individuals, promoted community cohesion and laid the basis for the joint determination of ways to deal with identified problems (Nel & Hill, 2000:9).

Empowerment strategies also have tremendous potential to overcome the traditional gender bias in rural society, enabling women the opportunity to counterbalance the advantage of men that usually have more access to power, information and resources (United Nations Human Settlements Programme (UN-Habitat), 2014:236). Premchander & Chidambaranathan (2004:209) state the necessity of women to have greater participation in leadership, so that their perspectives, needs and interest can be incorporated in decision making. It supports the contention of Carley (2001:13), that the self-development and empowerment of communities is essential in achieving sustainable development, particularly if social polarisation means that some communities are grossly disadvantaged in terms of basic needs or their ability to participate in the development process.

Empowerment, community participation and the bottom-up approach to power and decision making at a grass-roots level can furthermore be viewed as a prerequisite for successful project implementation (Peters, 1994:107). Smith and Valverde (2001:137) maintain that empowerment supports stable and durable institutions in civil society and their political influence, which enables the sustainable implementation of housing projects (and by extension, other service delivery projects). Only in the empowerment of communities can they be motivated to act collectively to change problems they face (Meltzer, 2005:154).

The overall purpose of empowerment in community-based planning is to transform the thinking of a community from symptomatic to systemic, adopting holistic perspectives in everything that they do (Bawden & Reichenbach, 2010:112). This viewpoint of empowerment is integral in developing the capacities of communities and their claiming of rights (Friedmann, 1992:13). According to Bawden and Reichenbach (2010:112), empowerment is the most vital aspect of community-based planning – one that by far represents the best way to move toward a well-being for all generations that is both socially and environmentally sustainable.

Empowerment, in addition to being a development strategy in itself (as it forms part of the social learning process in a community), also forms the basis for self-reliant, participatory development (Davids, et al., 2009:170). Anglin (2011:125-126) adds that the sustainability of communities depends on their effective and efficient organising (through empowerment) so that they can articulate their needs as well as organise what they can do for themselves. In effect, a holistic livelihood perspective is required, since the ultimate success of communities to achieve sustainable livelihoods would depend on people's capacities to utilise the options created and its compatibility with the livelihood strategies of rural communities (Baumgartner, 2004:343).

There is a vast collection of literature that addresses the ways in which empowerment in community-based planning can take place. To gain a sense of what the general understanding of empowerment entails, the approaches of Nel & Hill (2000), Smith & Valverde (2001), Dale (2004), and Davids *et al.* (2009) are summarised in the following paragraphs.

Firstly, the approach of Nel and Hill (2000) towards empowerment in the community in their evaluation of the community-driven economic development, land tenure and sustainable environmental development in the Kat River Valley is summarised in Table 5-4.

Table 5-4: Empowerment according to Nel & Hill

- Having workshop sessions at every stage of the process to provide feedback, discuss and verify conclusions and where relevant identify the way forward;
- Having specific sessions to deal with crucial issues in the community, such as safe drinking water sites and water quality, soil quality and fertility, environmental features and key environmental blockages, ways to deal with environmental problems (managing resources, erosion control and restricting pollution) and problems of access and land management;
- Training community members to better articulate their needs;
- Having workshops with provincial and national departments for specific problems;
- Providing information and linkages to relevant NGOs; and
- Training school children and specifically targeting the correct trainees.

Source: Nel & Hill (2000:230).

For Smith and Valverde (2001), the empowerment of communities entails the following:

Table 5-5: Empowerment according to Smith & Valverde

- The promotion of autonomous processes of organisation with a capacity to channel social demands and to build spaces of negotiation with state institutions which enable new forms of community development management.
- The promotion of decentralisation processes that fully recognise the role of community organisations in local development.
- The strengthening of the level of political awareness in the community.
- The fostering of processes of articulation and coordination of community initiatives at a regional level.

Source: Smith & Valverde (2001:137-138).

The process of empowerment as advocated by Davids *et al.* (2009), is characterised in the following way:

Table 5-6: Empowerment according to Davids *et al.*

- it is a process that involves some degree of personal development;
- It cannot be imposed by outsiders, although appropriate external support and intervention can speed up the process ;
- It involves moving from insight to action;
- It is not a zero-sum process; and
- Empowerment is collective action in the sense that individuals work together to achieve a more extensive impact than each could have made alone.

Source: Davids *et al.* (2009:21).

Last, but not least, the approach that Dale (2004) proposes, as indicated in Table 5-7, includes the specification of the following goals for the empowerment of communities:

Table 5-7: Empowerment according to Dale

- Promoting awareness among community or group members about structures and processes that influence their life situation negatively, about opportunities for improvement that may be exploited and, commonly, the development programme to which the social mobilisation is affiliated;
- Strengthening people's ability to analyse their problems and possible solutions, through facilitated discussions in groups about matters of concern to them;
- Helping people who have little influence over processes that shape their lives to gain some decision-making power regarding such processes;
- Promoting the effective use of people's own and other unutilised or underutilised resources;
- In interaction with the above, seeking to augment people's self-confidence and inclination to take initiatives;
- To the above-mentioned ends, helping people to see the advantages of working together, and assisting them to build their own organisations for mutual support and common action;
- Establishing links between promoted organisations and outside institutions for various kinds of support or dealings; and
- Promoting links between same kinds of organisations within the same local community or in different communities, often with the aim of creating umbrella organisations over the primary organisations.

Source: Dale (2004:193-194).

The effectiveness of empowerment in the implementation of development strategies in South Africa, can be illustrated with a project described by De Lange *et al.* (2000:iv-vii). In 1992, a "development through needs-based training" was applied to train approximately 7 000 poverty-stricken dry land maize farmers in the Phokoane area of Northern Province (Limpopo Province) over a period of five years. This intervention not only led to the improvement of the general standard of living in the Phokoane area, but it also led to a spontaneous demand for training in literacy, numeracy and other life skills. This, in turn, improved the access of the poor people in that rural area to the type of resources required for an increase in the potency of their voice, their ability to demand, and accountability in all levels of society (Sustainable Livelihoods in Southern Africa (SLSA) Team, 2003:23). It has led De Lange *et al.* (2000: iv-vii) to consider the value of capacity building of the rural poor as very important, and they list the following reasons in support of it (Table 5-8):

Table 5-8: Value of training for the “disempowered”

- It may lead to self-discovery and the restoration of the self-esteem and confidence of trainees;
- It may create the first direct link between the majority of rural communities and development planning;
- Communities will be able to better understand and articulate their needs, problems, fears and aspirations;
- The appropriate orientation of the trainer/facilitator can assist in engendering commitment from both the trainer/facilitator and the trainees/community through ascertaining the intentions of both;
- Effective communication can be established between the trainees and the trainer to build trust and human relations, assisting in overcoming the resistance to change. This forms the basis for the transfer of technology;
- It may enhance the ability of the individual to be involved, accept responsibility, apply self-discipline and make decisions which can bring about change
- It should lead to the improved utilisation of existing infrastructure; and
- It may lead to increased production through human development.

Source: De Lange *et al.* (2000: xii).

When the interrelatedness of empowerment, awareness and training is acknowledged and incorporated in community planning, the goal of sustainable livelihoods becomes much more realistic. For example, De Lange *et al.* relate how in Ndonga participants in the hand sewing programme were more successful in implementing the agricultural training and achieved higher yields than their counterparts who did not experience the personal growth through the sewing classes (2000:ix). Further abroad, Vandemoortele *et al.*'s (2013:x) working paper on how to achieve equitable growth in the BRICS countries also stresses the importance of access to assets, above all skills, to enable people to participate in activities that generate income. The paper particularly cites the example of Brazil, where government has aimed to increase people's access to assets, including their skills, through conditional cash transfer programmes that incentivise improvements in maternal and child health and education. Building these assets, while also formalising the economy, has enabled people to use their skills to participate in activities that generate income.

When considering the preceding views and proposals with respect to the empowerment of communities (or, stated differently, the promotion of systemic thinking instead of symptomatic thinking in communities), the conclusion may be drawn that the following essential requirements must be met:

- Recognising and strengthening the autonomy of community organisations in community development management, as well as improve their understanding of intra-group resources;
- Training community members to analyse their problems more appropriately and to state their needs clearly.
- Increasing the knowledge and awareness that communities have about the structures and processes that shape their life situation and the opportunities they have to influence it, as well as fostering the processes of articulation and coordination of community initiatives at local, provincial and national level.
- Promoting links between the same kinds of organisations within the same local community or in different communities, with the possibility of creating umbrella organisations over the primary organisations.

5.4 Causal agents in the empowerment of communities

At the root of empowerment lies the social mobilisation of local communities, which focuses on the same basic needs and interests (Dale, 2004:57). Social mobilisation can occur as a result of circumstances such as resistance against societal inequities, the search for housing solutions (as evident in many developing countries) or even the desire of members of certain communities to live more environmentally responsible lives. In South Africa, for instance, social mobilisation was mainly an outcome of mass struggles, particularly of the civic movement, of the 1980s and early 1990s (Carrim, 2011). It results in the establishment of community-based organisations (CBOs), non-governmental organisations (NGOs) and other non-governmental organisations to pursue their chosen purpose.

The objectives, constitutions and modus operandi of most of the organisations in the immense NGO sector in South Africa prior to 1994 were influenced by political considerations (Davids, et al., 2009:74). Post-apartheid, there is still a complex web of civil organisations, quasi-government bodies, organisations affiliated to liberations movements and even multilateral agencies (MacDonald, 1994:121). However, these NGOs face immense challenges in building a new society due to a comparative lack of indigenous implementation skills, dispute resolution and accountability mechanisms, as well as the difficulties of turning the attentions of protest organisations to the promotion of development (Cole, 1994a:7).

In contrast to the massive social mobilisation that took place in South Africa due to adverse socio-political conditions, Nel & Hill state that in most circumstances social mobilisation does not occur spontaneously. It needs to be organised and undertaken in a reasonably systematic manner (Nel & Hill, 2000:98). It involves the sensitisation and motivation of people and is

usually undertaken by local resource persons, community-based organisations or external organisations - in other words, “causal agents”. Fundamental to this approach is the belief that organised efforts may generate more benefits for the group members (or community) than the sum of benefits through the same person's individual efforts (Dale, 2004:57).

The necessity of there being “causal agents” (particularly NGOs) to empower communities to participate in development (and community-based planning as a tool to attain it), especially for the most deprived communities, has been widely acknowledged (Taylor, 1992:246). The DRLDR (2014b:87) states that there has been a flawed assumption that traditional leaders and local communities, especially in the predominantly rural areas of South Africa, have sufficient capability to meaningfully participate. To rectify this, it is the CRDP's (2009) stance is that communities in rural areas should be empowered to be self-reliant and responsible for their own development, through leadership training and facilitation for socio-economic independence. Not only in South Africa, but also in other countries (Asia, Latin America and particularly Africa), NGO involvement in development activities has increased due to the inability of governments to deliver basic services and to implement programmes aimed at strengthening the economic participation of the poor (Davids, et al., 2009:69).

Some of the commonly used designations for these “causal agents” are social mobilisers, community mobilisers, facilitators, community workers, catalysts, change agents or animators (Nel & Hill, 2000). Authors such as Farrington *et al.*, (1993), Smith & Valverde (2001), Dale (2004), Zetter & Watson (2006), Bank (2011) and Anglin (2011) all emphasise the essential role of these “causal agents” or non-governmental organisations, in strengthening local self-managed development. Bank (2011:157) refers to the “space” created for NGOs by the disparity between central government and local communities to access the necessary resources to support development. NGOs can use this “space” to create an enabling paradigm for communities to establish themselves in the development process (Smith & Valverde, 2001:133). In this respect a NGO with a broad community development mission may undertake various activities for different groups, in response to different problems, within and between communities (Dale, 2004:81). The NGO will then increasingly transfer the responsibilities for activities previously performed by the NGO to the community, with the NGO either withdrawing or identifying new types of support role for themselves (Farrington, et al., 1993:15).

The DRDLR (2009:23) states that in South Africa NGOs have a significant impact in implementing participatory planning approaches (i.e. empowerment) adapted to the needs of the poor, due to their close relationships with communities and households. Particularly in rural development, NGOs have a key role (Government of National Unity, 1995). Arguments in support of this statement are provided by Davids *et al.* (2009:70-71), listed in Table 5-9:

Table 5-9: Advantages of NGOs in empowering communities

- They are good at communicating with and mobilising the poor;
- They employ participatory, bottom-up approaches in project planning, implementation, monitoring and evaluation;
- They are effective in assisting the poor to participate in matters affecting them and to thus gain more control over the quality of their lives (this ability of NGOs to promote public participation is due to their partnerships relations with the communities they serve);
- They work well with, and strengthen, ineffective local institutions;
- They are innovative, flexible and experimental, which means they can transfer technologies developed elsewhere and adapt them to local conditions as well as formulate innovative responses to local needs; that is they are able to adopt a social learning process approach; and
- They undertake projects at no or minimal cost to government and at a lower cost than comparative public sector projects because of their commitment to using low-cost technologies.

Source: Davids *et al.* (2009:70-71).

5.5 Tertiary education institutions as example of empowerment agents

Tertiary education institutions (i.e. universities) have a long history as “causal/change agents” in community development, especially rural communities. These institutions have the ability to assess their role as change agent critically, understanding the nature of their relationship with the beneficiaries of development, appreciating the value of alternative social research methods and understanding the meaning-giving local (micro-level) context in which development takes place (Davids, et al., 2009:11). These abilities have favoured tertiary education institutions as development agents. In his book on promoting sustainable local and community economic development, Anglin (2011) makes several references to the active role of tertiary education institutions in rural development. Their involvement ranges from developing community leaders to dispatching extension workers to help local farmers.

Despite the contributions that tertiary education institutions make to their surrounding communities and regions, however, effective partnerships between institutions and communities are often elusive unless defined carefully with thought for the core reason for the relationship (Anglin, 2011:185). These partnerships, although driven by relationships, are not likely to go forward without defining clear goals, agreements and purpose and the success of these partnerships rests on the partners' ability to develop a common vision (Anglin, 2011:186). It is also necessary that these relationships should be of mutual beneficence, with the tertiary education institution preserving its *raison d'être* (responsibility to tuition paying students and serving as institutions of learning and investigation) while at the same time respecting and

acknowledging the needs and desires of the community members. As Draeger *et al.* (2010:145) state, there is a need to create and maintain the right balance between community and university interests, cultures and timelines.

For tertiary education institutions, the partnership between community and university could serve as a framework for engagement and scholarship, and enlarge the concepts of scholarship to not only include research, but also teaching, integration and application (Boyer, as quoted by Draeger *et al.*, 2010: 145). In other words, partnerships could help tertiary educational institutions to develop their programs in all elements of scholarship by engaging communities and faculty in ways that create new insights, explore various ways of being, learning and doing, as well as making the work richer, more meaningful and productive. It would also circumvent academic researchers only viewing rural communities as “data mines” (Baumgartner, et al., 2004:349).

Universities as causal agents in empowerment can also have a significant impact in improving gender equity, both at tertiary education institutions and in local communities. A research project between university and local communities with national and international visibility has the potential to make important contributions to policy formulation that could result in improved gender equity. Understanding sustainable rural livelihoods require framing and validating research methodologies aimed at micro-development, inclusive of gender relations and the practical and strategic realities of village life of women (United Nations Human Settlements Programme (UN-Habitat), 2014:87). For universities, the “real realities of live” as perceived by human beings in rural livelihood systems, cannot be approached without training and participative interaction with villagers. As such, researchers, policy makers and development practitioners should make respective investments in their own capacity building, providing an excellent opportunity for specifically involving female researchers.

In South Africa, universities (and other tertiary education institutions) can play a catalytic role in sustainable rural livelihood development. Particularly, they can work with local government to assist communities in compiling a localised and targeted development programme (a village-level Integrated Development Plan), which can be incorporated into the municipal IDP. It can also assist in reviewing and improving these programmes, in line with acceptable targets and commitment for grass-roots development and participating in the monitoring and evaluation of overall programmes. This opportunity for university-community collaboration is encouraged in the National Development Plan (2012:64), which supports partnerships between communities and universities to monitor, develop, and report on sustainable livelihoods. UN-Habitat (2014:253) also advocates for an approach where civil society, universities and other institutions significantly influence sustainable development by extending their support to this endeavour.

At several universities in South Africa, the potential for such partnerships already exists. At the North-West University, for example, Coetzee and Du Toit (2011) have released a baseline report on community needs and assets in the North West province to guide community engagement and interventions. The report also states that there is ample opportunity to form public-private partnerships to find innovative ways to address the needs of the local communities, by optimally using available assets.

Tertiary education institutions (i.e. universities) are optimally placed to establish partnerships with communities to develop sustainable rural livelihoods, for some of the reasons listed below:

- As tertiary education institutions (in principle) are not bound to political tenures and agendas, they can provide long-term commitment in the support and empowerment of communities, especially rural communities.
- The long history of civic activism in South Africa augurs well for successful partnerships between communities and tertiary education institutions.
- There is a lack of capacity at local government level to support micro-development and empower rural communities (NDP, 2012: 415) and community development initiatives at tertiary institutions could assist local government in this respect.
- As innovators, tertiary educational institutions have the ability to support communities to develop their own context-specific approaches towards resilient development.
- Tertiary educational institutions, especially those that draw their student corps from rural areas, should have indigenous knowledge of traditional cultures which can provide valuable insights for community-university partnerships.

A university-community partnership should have three principle goal-setting agendas to ensure its effectiveness as a community development initiative: namely the purpose of the partnership, the empowerment objectives for the community and the intentions the university aims to achieve. A proposed example of such a metric is set out in Table 5-10: University-community partnership objectives.

Table 5-10: University-community partnership objectives

Partnership objectives

- Building and strengthening relationships between the university and communities it serves.
- Strengthening the long-term social, economic and environmental health of the greater area through active citizen leadership.
- Advancing the understanding of local and regional sustainability by investing in research, education and projects.
- Providing a creative interaction space for both community and university stakeholders.
- Working together in a participatory fashion in projects (i.e. micro-development), defining needs and envisioning the solutions, resources and partnerships needed.
- Identifying specific research, education or outreach ideas that can evolve into projects with ownership by all community and university stakeholders.

Community objectives

- Organisational training: training in group dynamics, simple bookkeeping and accounting, adult literacy, banking and proposal writing.
- Leadership development: leadership development and the planning, implementation and evaluation of programmes/projects.
- Technical training: based on needs and priorities defined by the people themselves; training opportunities in various skills need to be arranged either externally or internally.
- External linkages and capacity building: assistance in building networks with external agencies and establishing linkages, as well as support in acquiring the skills and capacity to establish and maintain these networks and linkages.
- Exchange of experiences: provision of opportunities for visits to and exchanges with similar groups, projects, training and research centres.
- Support and encouragement: commitment from specific persons from university to share experiences and encouraging the solving of problems particular to the community.

University objectives

- Knowledge-seeking and –creating partnership to assess and manage changing environments.
- Propose, encourage and use public policies that productively link different communities in a region, encourage regional thinking and the development sustainable rural livelihoods.
- Develop strategies to address sustainable development, not in ways where development is an “add-on” but rather where it is an important way of doing business.
- Defining a level of accountability and impact that makes the university's in-place work more definitive and with clear effect to assure continued reliance on them by the public sector as an anti-poverty strategy.

Source: Adapted from Davids *et al.* (2009); Draeger *et al.* (2010); Anglin (2011).

There are several examples world-wide of centres for rural development (most located at universities), for instance:

- Centre for International Rural Development, University of Kassel, Witzenhausen, Germany – linked as an Institute of Faculty of Agriculture.
- Rural Women Development Centre, Punjab, with its focus on enhancing the role of women in agriculture and social development.
- Centre for Research and Sustainable Agricultural and Rural Development, Punjab, India.
- Centre for Rural Development, Venda University.
- Earth Institute (supporting Millennium Village project), Columbia University.
- African Centre for Cities, University of Cape Town.

It should be noted, however, that the efforts of the university in isolation, cannot reignite the fortunes of a sagging region, but building community capacity is a crucial first step in getting poor communities back in the economic mainstream and creating the possibility of sustainable development (Anglin, 2011:81).

5.6 Summary

As stated in the beginning of the chapter, community-based planning is an expression of communicative action in planning. Thus, the shortcomings in community action theory are also reflected in community-based planning. Of these, the influence of power inequalities among the participants in the process is the foremost. Empowerment strategies are proposed as the primary tool for counterbalancing the negative consequences of these power inequalities. The “disempowered” seldom have the capacity to embark on empowerment strategies, however - hence the need for “causal agents” such as NGOs. Nevertheless, communities themselves must become the primary actors in establishing a public participation culture to successfully take ownership of the community-based planning process. To summarise, the key aspects discussed in this chapter are noted below in Figure 5-2.

In support of community-based planning and empowerment.

- The autonomy of community organisations in community development management should be recognised and strengthened.
- Planning should be undertaken in partnership between village communities and planning professionals, especially those residents that depend on the natural resources of their area for their livelihoods.
- Acknowledge the conflicting interests in developing, implementing and benefiting from a sustainable rural livelihood development and include mechanisms in the planning process to resolve these issues.
- Social issues should be addressed, particularly access to resources and the position and participation of women; as well as pertinent physical or environmental issues.
- The processes of articulation and coordination of community initiatives at local, provincial and national level should be fostered, which includes training and knowledge sharing.
- Consensus-building and meaningful negotiations require equal access to information about the issues, problems and development options. Build on indigenous systems of local knowledge, land use and planning, taking care to retain their diversity and flexibility, as well as the experience and expertise of NGOs and other sectors.

Supporting tertiary education institutions as empowerment agents.

- As tertiary education institutions (in principle) are not bound to political tenures and agendas, they can provide long-term commitment in the support and empowerment of communities, especially rural communities.
- The long history of civic activism in South Africa augurs well for successful partnerships between communities and tertiary education institutions. There is a lack of capacity at local government level to support micro-development and empower rural communities (NDP,2012) and community development initiatives at tertiary institutions could assist local government in this respect.
- As innovators, tertiary educational institutions have the ability to support communities to develop their own context-specific approaches towards resilient development.
- Tertiary educational institutions, especially those that draw their student corps from rural areas, should have indigenous knowledge of traditional cultures which can provide valuable insights for community-university partnerships.

Key issues:

- Community-based planning cannot replace effective central planning, but can only thrive in association with it.
- University-community partnerships cannot attain sustainable development in isolation, but building community capacity is a crucial first step.

Figure 5-2: Summary of chapter

Source: Own construction (2015).

CHAPTER 6 THE SPATIAL DIMENSION OF RURAL LIVELIHOOD

When considering planning proposals and considerations for supporting sustainable rural livelihoods, arguments can be made for both centralised and decentralised planning scales (Conyers & Hills, 1984:223). In South Africa, different spheres of government (national, provincial and municipal) have different responsibilities with respect to rural planning and development, although rural development strategies are predominately developed by national and provincial government (centralised planning). Despite the efforts of the different government spheres, though, the implementation of these strategies, as elsewhere in Africa, is still not having the desired effect in rural areas (Dalal-Clayton, et al., 2003:197). In this regard, research regarding the impact of planning at village level (micro-level) can provide valuable insights for realising sustainable rural livelihoods.

In addition to the appropriate planning and implementation scale, the spatial dimension of rural livelihood within the South African context also requires a specific understanding of the extreme differentiation of areas within 'rural South Africa'. Not all spatial systems are similar in nature and being cognisant of the micro and macro relations, as well as the spatial context of a rural community, provide a fundamental awareness of what constitutes rural livelihoods. This is the approach advocated in the Draft Integrated Urban Development Framework (2014:61), which emphasises the need for a managed response that recognises the extreme variation between spatial areas.

In the following discussion, the scaling of planning interventions for sustainable rural livelihood development as well as the complexity of 'rural' space in South Africa will be discussed further. The chapter sections of the discussion are indicated in Figure 6-1:

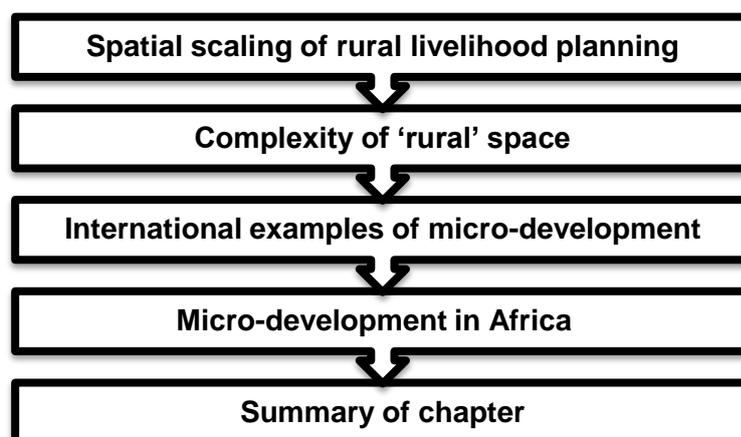


Figure 6-1: Chapter sections

6.1 Spatial scaling of rural livelihood planning

Assessing the appropriate scale for the development and implementation of sustainable rural development strategies in South Africa requires a consideration of both central and decentralised planning. While centralised rural development planning has for a long time held sway, there has also been a growing realisation that decentralisation is pivotal to rural development (Dalal-Clayton, et al., 2003:193). The primary concerns in this regard are the level at which decisions about the planning and implementation of development programmes are made, and coordination between different levels (Conyers & Hills, 1984:224).

Almost all development planning is 'local' (decentralised) in the sense of the needs of people, interventions to address them and accountability to local populations, but it is only from the 1970s onwards that, instead of centralised development planning approaches, a more comprehensible scale of planning, or 'micro-development', began to be seriously considered. Brooks (2004:63) accounts for it as a realisation that people rather identified with the immediate neighbourhood where they lived than the administrative unit (planning level) in which it was situated. For example, some of the problems that people perceived as making the most difference to their daily quality of life, for instance neighbourhood safety, occur at the localised level. This has led to an emphasis on micro-development as a planning scale.

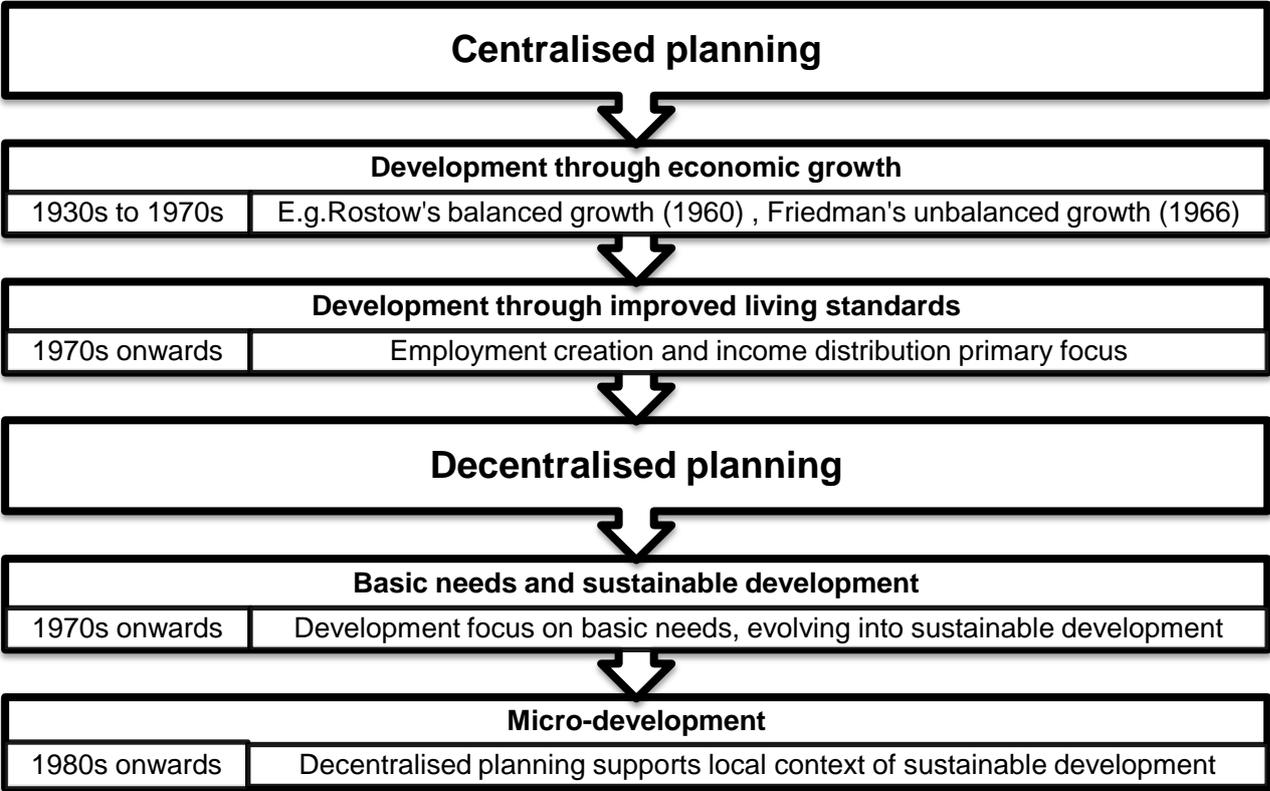


Figure 6-2: Regional development planning focuses

Source: Own construction (2015).

Micro-development in a rural context essentially focuses on the smallest territory that has meaning for the local people; which is effective and efficient; and for which they can define their own 'life space' in terms of their values and realities (Taylor, 1992:236). Many studies show the complexity and diversity of rural livelihoods and the strong influence that local contexts have on the scale and nature thereof (Satterthwaite & Tacoli, 2002:66-67). This bears out the validity of a micro-development approach, specifically in a rural African context. Jouve *et.al.* (1996:19), for example, have concluded that village communities are the most effective scale of planning, stating that in many developing countries (especially sub-Saharan Africa), individuals are usually closely integrated in family and lineage units, where their technical and social behaviour is relatively homogeneous and codified within a village community. Between different village communities however, the variety of micro and macro relations and contexts result in dissimilar spatial systems, even within the same region.

Inherent to the utilisation of micro-development as a sustainable rural livelihood strategy, is the issue of coordination with other planning instruments, as well as decision-making powers (Conyers & Hills, 1984:225). Rural development projects are rarely successfully implemented in developing countries, as responsible authorities often lack enough authority and/or resources (Dalal-Clayton, et al., 2003:197). This state of affairs is amply illustrated by the inability of most local governments to implement their IDPs, especially at territorial and social scales, such as the village agrosystem.

To truly realising sustainable rural livelihoods, communities often need the involvement of central government and possible third parties such as NGOs (Taylor, 1992:246). Local government is uniquely placed to analyse and understand the dynamics within local communities, and ensure that considerations which these communities may not necessarily entertain, be included (such as the participation of excluded and marginalised members of the community). The White Paper on Local Government (1998:25), for instance, states that there are many obstacles to the equal and effective participation of women, such as social values and norms, as well as practical issues such as the lack of transport, household responsibilities, personal safety, etc. Municipalities can adopt inclusive strategies aimed at removing these obstacles to, and actively encouraging women's participation. Supporting stronger local governance (village and municipal) is fundamental in the pursuit of sustainable rural livelihoods, and should focus on the objectives set out in Table 6-1:

Table 6-1: Objectives of micro-development

- Realisation of needs-oriented and endogenous nature of society's value and social reality.
- Bottom-up decision making by communities, community control and management of resources.
- Structural transformation of social relationships, economic activities and power relationships.
- Responsive, creative and innovative institutions and institution building.
- Self-reliant, participatory partnerships between planners and beneficiaries in communities.
- Capacity building and empowerment of communities.
- Support for and advocacy of people's roles in development by government, NGOs and CBOs.

Source: Adapted from Davids *et al.* (2009:109).

6.2 Complexity of rural space

'Rural' space has historically been juxtaposed with 'urban' space, frequently using population density and economic activity as the predominant criteria to differentiate between the areas (Fazal, 2012:2). As such, 'rural' areas have traditionally been viewed as areas outside the city/urban boundary or periphery with a spatially dispersed population, where the main economic activity tends to be agriculture. This approach towards spatial differentiation informed studies of the interaction between urban and rural areas in developing countries, focussing on settlement hierarchies that usually had an urban bias (Rostow, 1960; Boudeville, 1966; Friedmann, 1966).

It soon became clear, however, that these models did not represent the complex reality of human settlement and the rural-urban interface in developing countries, specifically the effect of migration dynamics. Rural populations in developing countries consider migration as an important way to increase or diversify income and/or to ensure access to assets and it can either be circular, seasonal, long term or permanent (Gilbert & Gugler, 1992:79). This two-way connection may include urban-rural linkages (sending remittances from urban to rural areas, supporting new migrants to urban areas), but also rural-urban (sending food from rural to urban areas, rural asset management) (Satterthwaite & Tacoli, 2002:55).

The continues intensification of rural-urban linkages has also led to the blurring of boundaries between what constitutes 'rural' and 'urban', as well as the diffusion of economic and spatial boundaries (Ndabeni, 2013:13). Some development studies began to consider the transitory zone of mixed rural and urban economic, social, cultural and natural resource uses at the periphery of cities in developing nations, even developing typologies to describe these 'peri-urban' areas. Iaquineta and Drescher (2000), for example, categorised peri-urban areas into five

'ideal' types (village, diffuse, chain, in-place and absorbed) according to the evolutionary impact of migration, presented in Table 6-2:

Table 6-2: Summary of peri-urban typology

- *Village peri-urban*: Rural villages with an urban consciousness. It is distant from the city both geographically and in travel time, but acquires an urban consciousness from out-migrants who contribute remittances and non-income resources, impart "urban" ideas and modes of behaviour and participate in (often strategic) community-decision making.
- *Diffuse peri-urban*: Areas proximate to the city with high-level ethnic heterogeneity because of multiple-origin in-migration, with greater density of various beliefs about customary institutions leading to increased likelihood of conflict and the possibility of the development of new institutions for resolving conflict.
- *Chain peri-urban*: Areas that is geographically close to the city and undergoes growth via a process of chain migration; also areas usually identified as "squatter settlements" on urban fringe.
- *In-place peri-urban*: Geographically close to the city and in the process of being absorbed by it; the result from in-place (in situ) urbanisation, natural increase and some migration.
- *Absorbed peri-urban*: Areas proximate to or within the city that have been absorbed for a considerable period of time and deriving either form in-place or chain peri-urban areas.

Source: Iaquinta & Drescher (2000).

The complexity of the rural-urban interface (and, in turn 'rural' areas) is not only determined by the multiplicity of migratory patterns as indicated by Iaquinta & Drescher (2000), it is also influenced by flows of natural resources, ideas, information and wealth exchanges (Ndabeni, 2013:1). While the flows of people, foods and goods (raw or processed) are tangible, that of ideas, information and wealth exchanges are less so (Lynch, 2005:3). Further complicating the rural-urban interface is the influence on these linkages by the socio-political, economic and structural relationships maintained between individuals and groups in the different areas (Lesetedi, 2003:37). A stylized representation of these linkages, flows and networks connecting rural and urban areas, with an exchange of benefits and disadvantages on both sides, is presented in Figure 6-3:

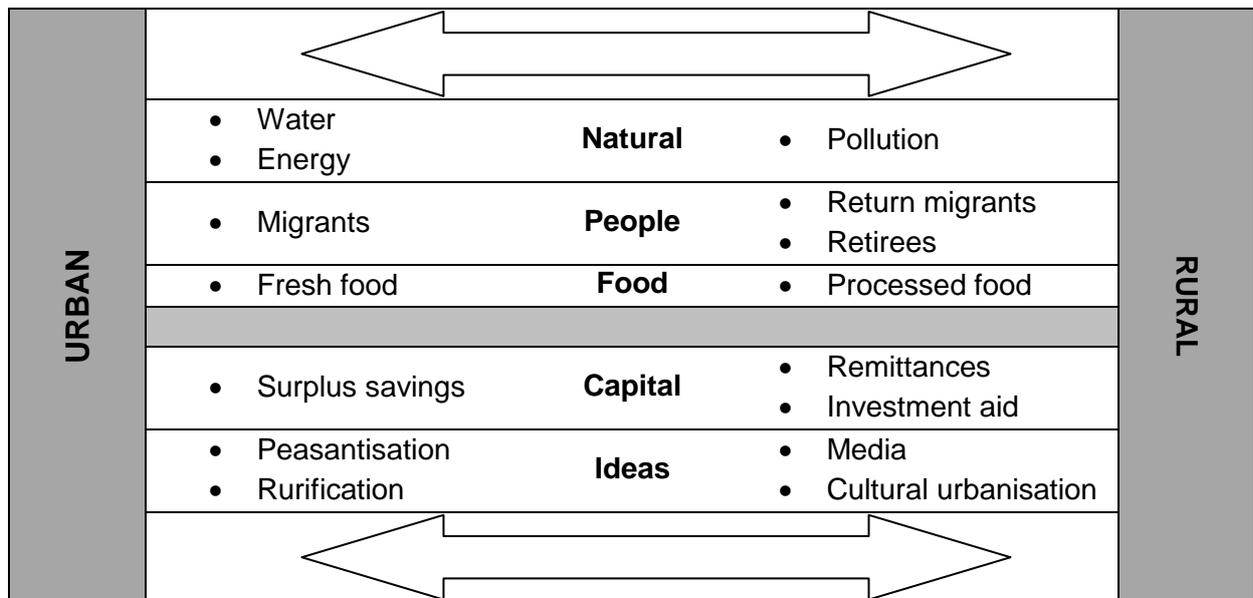


Figure 6-3: Urban-rural linkages

Source: Lynch (2005:6).

In the South African context these urban-rural linkages also come to the fore when considering rural areas; for instance, some of the differentiation criteria that the NDP (2012:264) indicates for rural areas are the contraction or expansion of their populations due to migratory patterns, location with respect to development nodes and corridors, and the degree of poverty. Another illuminating criterion is that of the Department of Human Settlements (2009:1-4) namely tenure, stating that the housing needs differ in areas with communal tenure and traditional settlement patterns to those in rural towns with informal and formal settlements. Using the criteria of the (dominant) economic activity, it can vary from commercial farming areas to subsistence farming areas (with communal tenure) and often include small towns and settlements which are largely dependent on agriculture.

The multi-faceted concept of 'rural' South Africa is further complicated by the effect that apartheid policies have had on human settlement patterns (Ndabeni, 2013:13). This specific aspect is emphasised by the distinction that the National Development Plan (2012:264) makes in Chapter 8 between human settlements in the 'rural' areas of South Africa: it distinguishes between settlements in commercial farming areas and those in former homelands. Those in commercial areas are categorised into small market towns, agrivillages, informal settlements, farm villages and scattered homesteads and those in former homelands into displaced townships, peri-urban informal settlements, villages and scattered homesteads.

The recognition that human settlements in the rural areas of South Africa are to a greater or lesser extent interwoven with urban areas, through multi-level linkages, has directed the NDP (2012:279) to adopt the approach of UN habitat towards 'rural' and 'urban' settlements. Instead

of separate categories, urban and rural are seen as a continuum of settlements, linked by various influences and processes. It is important to understand, however, that the nature of relationships and linkages is not uniform and as such the urban-rural continuum is not a smooth linear transition (Lynch, 2005:90-91). When considering rural livelihood proposals and planning considerations, it is of the utmost importance to ascertain the spatial dimension of a specific rural community for which the strategy is designed (i.e. its 'position' in the urban-rural continuum). In this regard, the rural-urban continuum (as conceptualised by Satterthwaite (2000) and illustrated in Table 6-3) is a useful tool to assist in determining the specific aspects of the spatial dimension of a specific rural community.

Table 6-3: The rural-urban continuum

<i>RURAL</i>		<i>URBAN</i>
<p>Livelihoods drawn from crop cultivation, livestock, forestry or fishing (i.e. key for livelihood is access to natural capital)</p> <p>Access to land for housing and building materials generally not a problem</p> <p>More distant from government as regulator and provider of services</p> <p>Access to infrastructure and services limited (largely because of distance, low density and capacity to pay?)</p> <p>Less opportunities for earning cash: more for self-provisioning; greater reliance on favourable weather conditions</p> <p>Access to natural capital as the key asset and basis for livelihood</p> <p>Urban characteristics in rural locations (e.g. prosperous tourist areas, mining areas, areas with high-value crops and many local multiplier links, rural areas with diverse non-agricultural production, etc.)</p>	RURAL-URBAN CONTINUUM	<p>Livelihoods drawn from labour markets within non-agricultural production or making/selling goods or services</p> <p>Access to land for housing very difficult; housing and land markets highly commercialised</p> <p>More vulnerable to 'bad' governance</p> <p>Access to infrastructure and services difficult for low-income groups because of high prices, illegal nature of their homes (for many) and poor governance</p> <p>Greater reliance on cash for access to food, water, sanitation, employment, garbage disposal,</p> <p>Greater reliance on house as an economic resource (space for production, access to income-earning opportunities; asset and income-earner for owners – including <i>de facto</i> owners)</p> <p>Rural characteristics in urban location (urban agriculture, 'village' enclaves, access to land for housing through non-monetary traditional forms, etc.)</p>

Source: Satterthwaite (2000).

In essence, research that intends to provide viable options for sustainable rural livelihoods, need to be cognisant of the fact that many rural and urban residents rely on a combination of both rural- and urban based assets or income sources as part of their survival strategies. This implies that specifically in terms of poverty, a distinction between urban and rural contexts are limited, because of the characteristics of production patterns, rural-urban links and the diversity of conditions in both rural and urban areas (Satterthwaite & Tacoli, 2002:59-60). Rural livelihood strategies contain both urban and rural elements, comprising any combination of activities such as cultivation, herding, hunting, gathering, reciprocal or wage labour, trading and hawking, artisanal work (i.e. weaving and carving) processing, providing services in transport, fetching and carrying, begging and theft (Chambers & Conway, 1992:8). Furthermore, migration for rural populations is an important way to increase or diversify income and/or to ensure access to assets.

It is also of vital consequence in South Africa to understand the gender dimension of rural livelihoods. Some of the relevant issues are that women comprise a large percentage of the rural poor (NDP, 2012:42), women migrants in urban areas usually send home a higher percentage of their income than their male counterparts and women in rural areas have less control over the spending of remittances (Ndabeni, 2013:25). In addition, female-headed households are particularly disadvantaged as they spend relatively more on basic social services such as food and water, shelter, energy, health and education, and transport and communications services (Department of Human Settlements, 2009: 3). This argues for a specific focus on women when developing sustainable rural livelihood strategies, with an inclusive understanding of the complexity of 'rural' space and its interconnectedness with urban space.

6.3 International examples of micro-development

6.3.1 Localism

In development practice, the concept of "localism" is used to describe a strategy aimed at devolving power and resources from central to local control, within an agreed framework of national minimum standards and policy priorities (Mohan & Stokke (2000), Curtis (2003), Stoker (2004), Feagan (2007), Hildreth (2011), Walker *et al.* (2007)). This movement began to gain prominence from the 1970s onwards and comprises elements of democracy, social and economic well-being, the relationship between citizen and state, and how public services are delivered in the twenty-first century (Hopkin & Atkinson (2011), Mkandawire, (2002)). Ultimately, the objective is that participative democracy, as opposed to representative democracy, should be the dominant political form in society (Magnaghi, 2005:xiii). Parkinson describes this approach to democracy in localism as deliberative, which is both macro-focused

(on political conversation) and micro-focused (the ideal speech situation) (2007:23). He supports the notion of Magnaghi that deliberative democracy should be the prevailing political form, both locally and centrally.

The practical implementation of this approach has increased in recent years, albeit mostly on a small scale, attracting considerable academic attention from 1970 onwards. One of the most notable scholars in this regard, Edward Goldsmith (the previous editor of *The Ecologist*), argues that the only effective form of democracy is participatory rather than elective, where all adult citizens take an active part in running their own affairs (1977:137-138). He asserts that this is possible only in a small community in which there is constant contact between people, and in which public opinion is formed by the same cultural influences. In a similar vein, Kunstler emphasises the need for the development of public spaces that acknowledge our need to interact comfortably with one another (1998).

Presently, the localism approach is most vigorously promoted by its proponents in the United States, United Kingdom and Western Europe (O'Riordan, 2004:235), although Jenkins also describes similar trends (albeit with other titles) in other parts of the world (2001b). According to David Hess, adherents of the localism movement in the United States are particularly concerned with the local control of government, the support of local production and the consumption of goods, and the promotion of local history, culture and identity (2010:147). Hess' (2008) contention is that by re-localising democratic and economic relationships to the local level (particularly the local ownership of regional economies), social, economic and environmental problems will be more definable and solutions more easily addressed. Roxburgh (2010:38) cites the recent concerns regarding the detrimental impact of public expenditure cuts on outcomes in the USA as an added impetus to the localism movement there. As a mediating principle he proposes the allocation of its budget share (even if reduced) to a locality for service delivery, and letting it determine its own priorities and strategy (2010:38).

Specific examples of this movement in the United States include the "buy local movement" supported by independent retailers and banks, community-controlled energy, and local food and agricultural networks. Feagan defines this "buy local movement" as meaning the reinforcement of local food networks through farmers' markets, community-supported agriculture, community gardens, food cooperatives and restaurants that serve local foods (2007:23). As an extension of the "buy local movement", "support local business" and "bank local" also advocates support for locally owned, independent businesses and (internationally) community banks and credit unions (Curtis, 2003:83).

In the United Kingdom, localism is pursued not only at community level ("bottom-up"), but also by central government ("top-down") through various initiatives, particularly the Localism Act,

which aims to reinvigorate civic society by devolving more power (Roxburgh, 2010:37). The primary measures contained in this act include new freedoms and flexibilities for local government, new rights and powers for communities and individuals, reform to make the planning system more democratic and effective, and reform to ensure that decisions about housing are taken locally (Department for Communities and Local Government, UK, 2011:3).

A representative localism approach developed in Western Europe, based on the legal principles that define the nature of basic relationships between the centre, local government and citizens, and idealized the independence and representative nature of local government. Öztürkmen describes the reasoning for this approach as placing value on the local knowledge of communities to provide essential information when developing policies for localities (2005:60). These are set out in the European Charter of Local Self-Government (Council of Europe, 1985), which has been signed by nearly all European governments, including the UK. In this model, local authorities are placed at the heart of local governance in a democratic system and are seen to have an essential role to connect with and enable citizens to achieve their basic democratic right to participate in the conduct of public affairs (Hildreth, 2011:708).

When evaluating localism, three principle aspects give definition to the concept, namely *freedom from* central interference (local autonomy), *freedom to* effect particular outcomes (local governance); and as the *reflection of local identity* (Pratchett, 2004:358). These aspects particularly resonate with the socio-political aspect of development. The first principle at the centre of localism is *local autonomy*, as applied on global, national and local levels. This can be understood as the pursuit of social equity, where basic services and entitlements are available to everyone at national and local level, achieved through the right balance between national consistency and local autonomy (Roxburgh, 2010:38). The converse (but equally important aspect) of local autonomy is *active citizenship*, which is the belief that with the granting of rights come certain responsibilities, specifically with regard to the community and the environment (Tich, 2010). The very definition of community implies responsibility, as Eric Assadourian (drawing on the work of Graham Metzger, 2005) describes community as a group of geographically rooted people engaged in relationships with one another and, through these relationships, having shared responsibilities - as the Latin roots of the word suggest: com (with) munis (duties) (Assadourian, 2008:152).

Local governance, the second principle, is frequently advanced as a reaction to centralisation. Localists argue that central authority should be devolved to communities, using natural geographic and historical boundaries to organise society politically along community lines (Silberstein & Maser, 2000:190). Here, each has the power to initiate, decide and execute the affairs that concern it closely, for instance land use, housing, maintenance, streets, parks, police, schooling, welfare and neighbourhood services (Curtis, 2003:87). Hildreth describes

three models pertaining to this principle, namely conditional localism, representative localism and community localism (2011:706). *Conditional localism* refers to localism where the centre recognizes value in decentralizing to local institutions; however it is conditional upon them delivering outcomes that meet the policy priorities and service standards of the centre. The reasoning behind this approach is that locally sensitive policy implementation and community leadership is necessary in delivering public services on behalf of the centre, but even the primacy of the local governance in delivering these services needs to be “earned” (Pratchett, 2004:369). *Representative localism* encompasses devolution by the centre to independent, local democratically elected bodies (local government), based on the principle of subsidiarity, which states that public service responsibilities should be devolved from the centre to local government in order to enable them to be run at the lowest tier commensurate with their efficient and accountable service delivery. Stoker argues that this approach is necessary to manage the substantial variety of state service provision, which often requires an effective local response in order for the state action to work (2004:118). Perhaps the most extreme form of local governance is that of *community localism*, which entails devolving responsibility from the centre to local communities, empowering them to work with or possibly even bypass or weaken local government.

The concept of *reflection of local identity* in localism, is elucidated by Curtis, who states that “place matters”, where “place” refers to specific, unique locations with their particular ecosystems, communities, and resources (2003:85). Furthermore, it matters because local ecosystems provide heterogeneous and varied resources and constraints to localized economies and also because there is “...an inescapable correspondence... between the quality of our places and the quality of the lives lived in them” (Curtis, 2003:85).

Localism as a viable decentralised development approach is not without its shortcomings, however. Three significant concerns relate to localism (or new localism), specifically the rights and responsibilities debate, the central-local balance in the devolvement of powers and the unwillingness of the public to participate. Concerning the rights/responsibilities debate, while the *rights* of communities are often clearly defined within legal frameworks, their *responsibilities* (or “stewardship” as it is described by O’Riordan (2004:245)) often are not. As an example, in South Africa’s Constitution everyone is guaranteed the right to water, but the responsibility to use it judiciously is not stipulated.

Second, the issue of the central-local balance of power relates to the tension that exists between local and national standards and priorities. According to Parvin the protection of the democratic rights of all citizens is the responsibility of civil government (2009:355) and the execution of this responsibility may not always be possible when decision-making power is devolved to local communities. Central government has a primary role to play in ensuring

territorial justice, equity and the collective provision of public goods (Stoker, 2004:117) and in exercising this role it circumscribes local autonomy. Thus there is an inevitable dilemma between local autonomy, local democracy and the maintenance of a broader democratic polity (Pratchett, 2004:373).

Third, there is a general perception of unwillingness among the public to participate in local decision-making (Hopkin & Atkinson, 2011:621), which is mostly ascribed to a lack of evidence of good service delivery on the ground (Collinge & Page, 2004:101). Other constraints listed by Dalal-Clayton *et al.* (2003:161) include the distrust of community members about government authorities (central or decentralised), government emphasis on participation without concomitant increase in rights and income possibilities (participative burden), and a lack of effective representation of community interests.

6.3.2 New Urbanism

New Urbanism is an urban design movement that emerged during the 1970s and 1980s in the United States in reaction to the many problems associated with urban sprawl, with a similar movement in England called the British Urban Villages campaign (Corbett & Corbett, 2000:9-10). According to Talen, the same sequence over the response to urban disorder that occurred in the nineteenth century is occurring with New Urbanism, except that instead of the industrial megalopolis, the chaos of urban disorder is sprawl (2005:279).

The response to urban disorder which Talen refers to was epitomised by social reformer Ebenezer Howard's approach of building new towns ("Garden Cities") rather than adding population to the already large cities (Corbett & Corbett, 2000:4). His book, *Garden Cities of Tomorrow*, published in 1902, introduced the idea of planned and self-contained communities surrounded by greenbelt land (Wainwright, 2012). He advocated the construction of garden cities to reduce the alienation of human society from nature. The social world was to be reorganized and integrated into the surrounding environment to ensure sustainable interactions (see Figure 6-4). Howard's scheme would have incorporated a unified system of community landownership, greenbelts and a balance of land uses, including industry and housing for workers, a balance between industrial and residential uses, self-government and an intimate relationship between city and countryside (Corbett & Corbett, 2000:4). Self-contained for its own employment, with most parts within walking distance, and surrounded by an agricultural belt to assure a supply of fresh food, it advanced the ideals of sustainability and walkability, which ideals are very much the same as those of New Urbanism (Hardy, 1999:16).

In their book, *Sociable Cities: the legacy of Ebenezer Howard* (1998), Sir Peter Hall and Colin Ward, propose a modern version of Howard's town-country magnet and social cities, in the form

of a number of development corridors. Along these corridors would be clusters of settlement, all served by high-speed rail and other transport links, and with protected landscapes alongside (Hardy, 1999:20). This is their solution to accommodate people who still prefer to live in settlements on a human scale, but with the advantage of access to a wide range of high-level services, according to principles of sustainability.

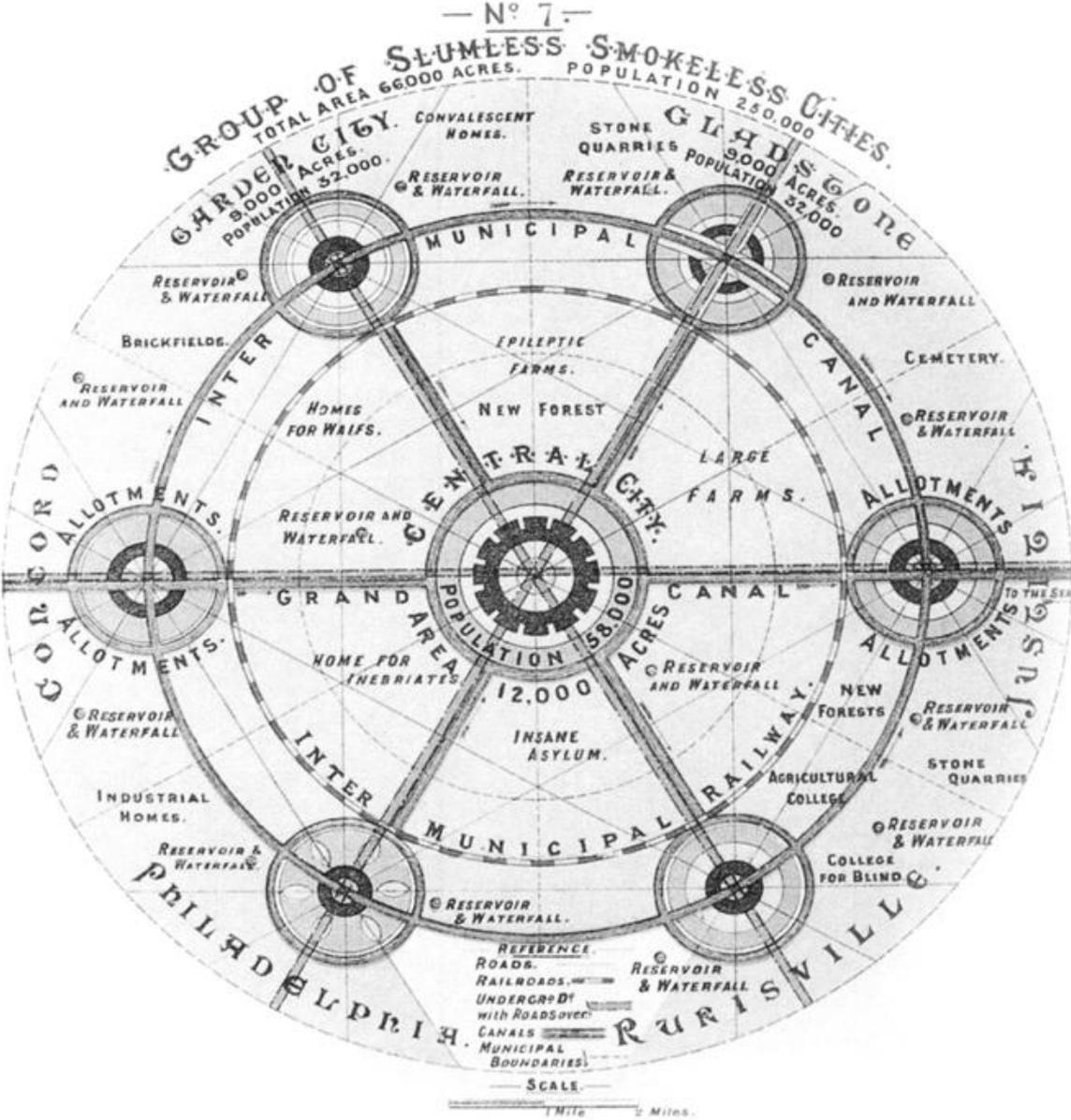


Figure 6-4: Ebenezer Howard’s group of slumless, smokeless cities

Source: Ebenezer Howard’s 1902 book *Garden Cities of Tomorrow*.

In the United States a group called the Regional Planning Association of America formed in the 1920s to further the concept of “garden cities”, and it included people such as Lewis Mumford and Clarence Stein (Corbett & Corbett, 2000:5). However, after World War II, political and economic forces prevented the full realisation of this vision and decentralised, monocultural

communities, protected by swathes of greenery, became the real legacy of this particular diagram (Wainwright, 2012). This decentralisation was enabled by technological advances in sanitation, transportation and communication, which establish different ways of connecting and servicing new polycentric networks of inhabitation (Fard, 2013:55). Urban planning began to be largely centred on the rigorous separation of uses, otherwise known as "conventional suburban development" (Gordon & Vipond, 2005:41), which both resulted from and necessitated automobile dependency. Similar to the industrial megalopolis emerging from the industrial revolution, the "automobile revolution" (the consequence of the availability of cheap automobiles and favourable government policies) resulted in an urban growth form focused mainly on the needs of the car (Kunstler, 1998:28).

New Urbanism aims to reform these patterns of urban growth, which focus mainly on the needs of the car, to instead put emphasis on "traditional neighbourhood development" (Gordon & Vipond, 2005:41). It is based on the belief that current development patterns are contributing to the decline of our central cities, the loss of open space and agricultural lands to low-density suburban growth, and the problems of crime, affordable housing and social equity (Silberstein & Maser, 2000:35-36). Moreover, New Urbanists believe that the issues of global warming and *peak oil* can be resolved using New Urbanism principles, Transit Oriented Development and the predominant use of trains for transit (New Urbanism, 2012a).

Understanding New Urbanism and how it relates to the current approaches towards urban planning in the United States are comprehensively described in Emily Talen's book, *New Urbanism and American Planning* (2005). According to Talen, the four principle approaches used in urban planning are incrementalism, urban plan-making, regionalism and planned communities, although they also overlap (Talen, 2005:274). Regionalism is connected to incrementalism in that both try to accomplish change through the actions of individuals. (In the case of regionalism, strong government is also required.) Plan-making and planned communities overlap in their belief in the power of the visual image and the clarity of the plan. Conflicts are most likely to occur on the diagonals of the conceptual grid. Plan-makers and regionalists struggle over the issue of structural versus practical change, and incrementalists and planned community proponents debate the notions of diversity and order. This is represented in Figure 6-5:

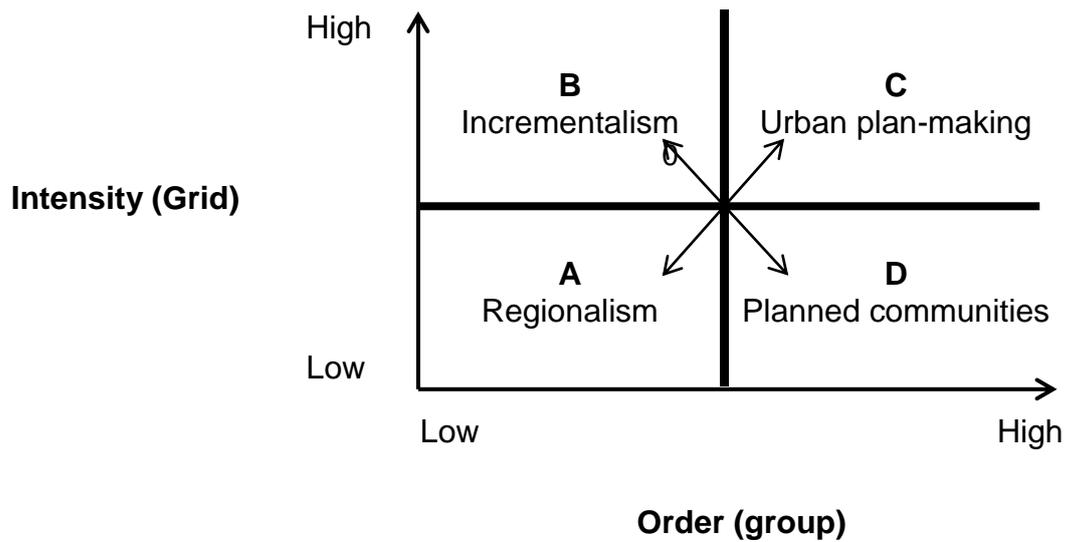


Figure 6-5: Main sources of urbanist culture conflict

Source: Talen (2005:275).

The current planning methods corresponding to the aforementioned urbanist cultures are illustrated in Figure 6-6 (Talen, 2005:280).

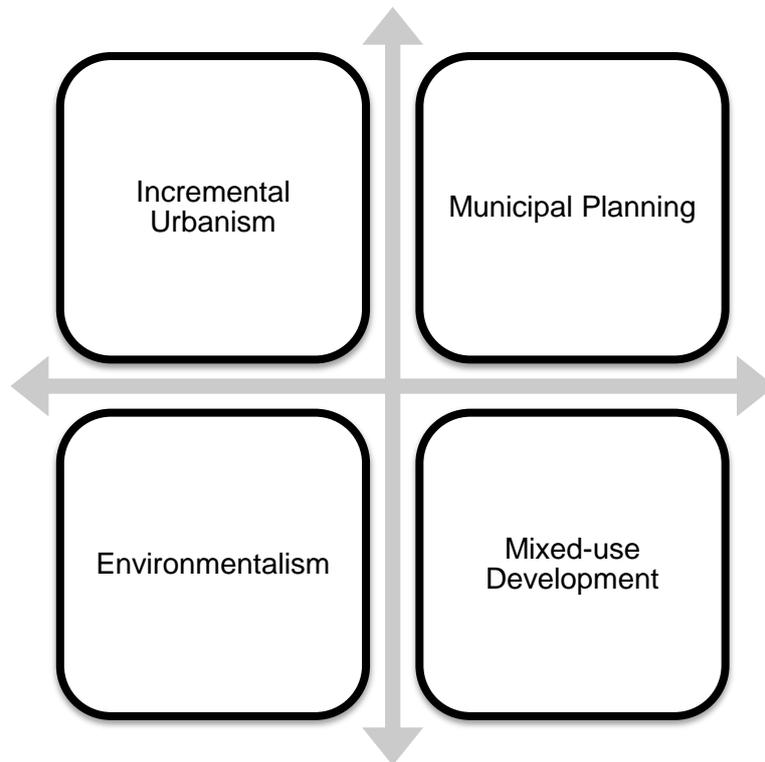


Figure 6-6: Current state of urbanist cultures

Source: Talen (2005:280).

Incrementalism focuses on small-scale, bottom-up change and is primarily promoted by neighbourhood activists and urbanists preferring community-based planning.

The urban plan-making culture is mostly a matter of municipal master planning consisting of bureaucratized planning and its accompanying regulations, the continuous creation of various plans, as well as the public-private partnerships it seeks in order to secure funding for large-scale civic projects.

Planned communities are usually private or public-private enterprises that seek to provide mixed-use development in various forms: residential development with embedded retail and services, town centres or transit oriented developments for example.

Regionalism (in its original form) can be broadly described as environmentalism, a category that includes a range of related ways of thinking about how to translate human settlement in terms of its natural regional context, such as environmental planning and ecological design.

According to Talen, New Urbanists believe that all four cultures have their value and need to be incorporated in the promotion of urbanism in America (Talen, 2005:281). Integrating and adapting these approaches to address the issue of peak oil and global warming will assist in achieving an urban form that will contract and densify because, as Kunstler (2008) argues, only smaller cities and towns that can maintain a relationship with productive farming hinterlands and/or trade-via-water will thrive in the future. In effect, Kunstler believes that New Urbanism will become the only *de facto* ideology along with the design principles that go with it to ensure the development of sustainable urban landscapes. This view is shared by other planners, as New Urbanist principles have become increasingly influential in the fields of planning, architecture, and public policy, despite the current dominance of modernist planning techniques in the United States.

The organising body for New Urbanism in the United States of America is the Congress for the New Urbanism, founded in 1993. In its foundational text, the *Charter of the New Urbanism*, it states that their main purpose is to “advocate the restructuring of public policy and development practices to support the following principles: neighbourhoods should be diverse in use and population; communities should be designed for the pedestrian and transit as well as the car; cities and towns should be shaped by physically defined and universally accessible public spaces and community institutions; urban places should be framed by architecture and landscape design that celebrate local history, climate, ecology, and building practice” (Congress for the New Urbanism, 2001).

New Urbanists support regional planning for open space, context-appropriate architecture and planning, and the balanced development of jobs and housing. They believe their strategies can

reduce traffic congestion, increase the supply of affordable housing, and rein in suburban sprawl. The *Charter of the New Urbanism* also covers issues such as historic preservation, safe streets, green building, and the re-development of brownfield land. The planning paradigm underlying these principles is that of a fluid, non-linear, diverse (multidimensional), self-organising, waste-free paradigm (modelled after nature) (Silberstein & Maser, 2000:69-96).

Silberstein and Maser (2000:69-96) explicate fluidity as the free-flow of communication between everyone, with planning being non-linear i.e. neither top-down or bottom-up, but mutually directive planning. It should also be diverse in order to strengthen the systems through the incorporation of the views of the different participating stakeholders, and self-organising to ensure lasting impact. Also, the concept of “waste” should be eliminated (an approach modelled after nature), first, by not producing it, and secondly, by seeing it as a valuable and usable commodity (i.e. use “waste” to fuel other systems). Lastly, but most importantly, the interdependency of all the components of all the living systems, both the whole and the components, should be taken into account.

There are several sources providing guidelines for New Urbanist planning, such as the CNU (Congress for the New Urbanism, 2001) (as described in the previous paragraph), Smart Growth (Smart Growth Online, 2006), CATS (Center for Applied Transect Studies (CATS), 2012) and New Urbanism (New Urbanism, 2012b). The Smart Growth iteration of New Urbanism is perhaps the most well-known application thereof (Corbett & Corbett, 2000:17). Smart Growth values long-range, regional considerations of sustainability over a short-term focus. Its goals are to achieve a unique sense of community and place; expand the range of transportation, employment, and housing choices; equitably distribute the costs and benefits of development; preserve and enhance natural and cultural resources; and promote public health. The principles guiding these goals are enumerated in Table 6-4.

Table 6-4: Smart Growth principles

- | |
|--|
| <ol style="list-style-type: none">1. Mix land uses.2. Take advantage of compact building design.3. Create a range of housing opportunities and choices.4. Create walkable neighbourhoods.5. Foster distinctive, attractive communities with a strong sense of place.6. Preserve open space, farmland, natural beauty, and critical environmental areas.7. Strengthen and direct development towards existing communities.8. Provide a variety of transportation choices.9. Make development decisions predictable, fair, and cost effective.10. Encourage community and stakeholder collaboration in development decisions. |
|--|

Source: Smart Growth Online (2006).

Furthering the Smart Growth principles is the codifying thereof in the United States in planning regulations, particularly through the SmartCode. The original SmartCode was developed by Duany Plater-Zyberk & Company (DPZ) in 2003, after two decades of research and implementation. It has been continually updated through interdisciplinary research, publication, tools, and training for the design, coding, building and documentation of resilient transect-based communities (Smart Code Central, 2012). The SmartCode is a model transect-based planning and zoning document based on environmental analysis. It addresses all three scales of planning, from the region to the community to the block and building. The three patterns are in a nesting relationship, with regional sectors containing designated types of communities, community units containing designated ratios of transect zones and transect zones containing the building elements appropriate to them. As a form-based code, the SmartCode keeps settlements compact and rural lands open, literally reforming the sprawling patterns of separated-use zoning (Center for Applied Transect Studies (CATS), 2004). The intended outcomes of this approach are set out in Table 6-5.

Table 6-5: Projected outcomes of SmartCode

- Walkable, transit-connected communities.
- Comprehensive zoning reform.
- Context-based thoroughfare design and engineering.
- Affordable housing and income diversity.
- Regional, local, and individual food production.
- Passive climatic response in building and urban design.
- Reduction of environmental impacts and costs of infrastructure.
- Development and use of renewable energy technologies.
- Repair of unsustainable sprawl patterns.

Source: CATS (2012).

On the New Urbanism website, the principles of urbanism echo those mentioned above, and it is stated that the paradigm can be applied increasingly to projects at the full range of scales from a single building to an entire community. They are set out as follows in Table 6-6:

Table 6-6: New Urbanism principles

<p>1. Walkability.</p>	<ul style="list-style-type: none"> • Most things to be within a 10-minute walk of home and work. • Pedestrian-friendly street design (buildings close to street; porches, windows & doors; tree-lined streets; on-street parking; hidden parking lots; garages in rear lane; narrow, slow-speed streets). • Pedestrian streets free of cars in special cases.
<p>2. Connectivity.</p>	<ul style="list-style-type: none"> • Interconnected street grid network disperses traffic & eases walking. • A hierarchy of narrow streets, boulevards, and alleys. • High quality pedestrian network and public realm makes walking pleasurable.
<p>3. Mixed use and diversity.</p>	<ul style="list-style-type: none"> • A mix of shops, offices, apartments, and homes on site. Mixed-use within neighbourhoods, within blocks, and within buildings. • Diversity of people - of ages, income levels, cultures, and races.
<p>4. Mixed housing.</p>	<ul style="list-style-type: none"> • A range of types, sizes and prices in closer proximity.
<p>5. Quality architecture and urban design.</p>	<ul style="list-style-type: none"> • Emphasis on beauty, aesthetics, human comfort, and creating a sense of place; Special placement of civic uses and sites within community. Human scale architecture & beautiful surroundings nourish the human spirit.
<p>6. Traditional neighbourhood structures.</p>	<ul style="list-style-type: none"> • Discernible centre and edge. • Public space at centre. • Importance of quality public realm; public open space designed as civic art. • Contains a range of uses and densities within 10-minute walk. • Transect planning
<p>7. Increased density.</p>	<ul style="list-style-type: none"> • More buildings, residences, shops, and services closer together for ease of walking, to enable a more efficient use of services and resources, and to create a more convenient, enjoyable place to live. • New Urbanism design principles are applied at the full range of densities from small towns to large cities.
<p>8. Green transportation.</p>	<ul style="list-style-type: none"> • A network of high-quality trains connecting cities, towns, and neighbourhoods together. • Pedestrian-friendly design that encourages a greater use of bicycles, roller-blades, scooters, and walking as daily transportation.
<p>9. Sustainability.</p>	<ul style="list-style-type: none"> • Minimal environmental impact of development and its operations. • Eco-friendly technologies, respect for the ecology and appreciation of the value of natural systems. • Energy efficiency. • Less use of finite fuels. • More local production. • More walking, less driving.
<p>10. Quality of life.</p>	<ul style="list-style-type: none"> • Taken together, these add up to a high quality of life well worth living, and create places that enrich, uplift, and inspire the human spirit.

Source: New Urbanism (2012b).

The principles of intelligent urbanism (PIU) are a set of ten axioms, laying down a value-based framework within which participatory planning can proceed (Caves, 2005:537-538). PIU was described by Christopher Benninger (2001:39-65) as the outcome of several decades of urban planning practice in the Asian context. These ten axioms are as follows:

- Balance with nature (environmental sustainability) – the urban ecological balance can be maintained when fragile areas are reserved, the conservation of eco-systems is pursued, and low-intensity habitation precincts are thoughtfully identified.
- Balance with tradition (heritage conservation) – integrating planned interventions with existing cultural assets, respecting traditional practices and precedents of style.
- Appropriate technology – employing building materials, construction techniques, infrastructural systems and project management which are consistent with local context.
- Conviviality (place making) – social interaction through public domains, in a hierarchy of places, devised for a diverse range of relationships (individual, friendship, householder, neighbourhood, community and city domain).
- Efficiency (infrastructure efficiency) – balance between performance and consumption, in a cost effective manner.
- Human scale – encouraging ground-level, mixed-use pedestrian-oriented urban patterns based on measurable dimensions.
- Opportunity matrix (“social access”) – pursuing personal, social and economic development through access to a range of organisations, services, facilities and information providing a variety of opportunities for business, mobility, employment, shelter, health, education, recreation and basic needs.
- Regional integration – envisioning the city as an organic part of a larger environmental, socio-economic and cultural-geographic system, essential for sustainability.
- Balanced movement (transit oriented development) – integrated transport systems comprising walkways, cycle paths, bus lanes, light rail corridors, under-ground metros and automobile channels with a balance between appropriate modes of movement.
- Institutional integrity – good practices inherent in considered principles can be realized only through accountable, transparent, competent and participatory local governance, founded on appropriate data bases, due entitlements, civic responsibilities and duties.

In other countries there are movements similar to New Urbanism. In 2003 the Council for European Urbanism (CEU) was formed, which shares many of the same aims as the United States' New Urbanists (Council for European Urbanism, 2003). CEU's Charter is a modification of the Congress for the New Urbanism Charter, revised and reorganised to relate better to European conditions. In Australia the Australian Council for New Urbanism has held conferences and events to promote New Urbanism in Australia since 2001 (Australian Council for New Urbanism, 2004-2015). In New Zealand, the Ministry for the Environment created a New Zealand Urban Design Protocol in 2005. Although not labelled New Urbanism, in Singapore practically all of the public housing estates that have been developed by the public housing authority are planned with the neighbourhood as the basic spatial planning unit (Ling, 2005:159). Within these neighbourhoods, services and facilities meant to support everyday consumer needs for goods and services are located within walking distance of the homes of these residents, that is, at 400 to 600 metres away or some 10 to 15 minutes walking distance. The outcome is that a majority of the residents could walk to the neighbourhood centre for basic needs for food and services like hairdressing or medications and cooked meals.

Despite its lofty ideals, there are several criticisms levelled at New Urbanism, such as that it is simply a new form of sprawl, it's an elitist approach and that it is excessively ordered and out of touch with the (American) housing market's demand for single detached homes in automobile-oriented suburbs (Gordon & Vipond, 2005:41). Perhaps the greatest indictment is that New Urbanism is usually centrally planned and large-scale in application. This approach, however, is in great part a reaction to existing financing practices for construction, which tend to favour large-scale development. A bias towards top-down implementation is also due to the very pragmatic wish of New Urbanists to "plug into" the existing system rather than to start everything from scratch (Salingaros & Mena-Quintero, 2010).

6.3.3 Magnaghi's Territorialism

While "New Urbanism" and "Smart Growth" are the terms most often used in the United States when describing the anti-modernist planning approach (or commitment to place planning), in other parts of the world and in particular in Europe this approach to planning is mostly known as the "Urban Village". The name first emerged in the 1960s in the work of Herbert Gans, an American sociologist and educator, in his book *The Urban Villagers* (1962), which is a study of second-generation Italian-Americans. In the United Kingdom Leon Krier, a long-time personal adviser to the Prince of Wales on urban matters, pioneered this concept in the late 1980s and is a founding member of the Urban Villages Group (Caves, 2005:412). It was subsequently prioritised in the national planning policy between 1997 and 1999, following pressure from the Urban Villages Group (Caves, 2005:537-538).

In Italy, the Urban Village approach has been developed under the auspices of the Territorialist School, which is composed of a group of Italian scholars, of whom Alberto Magnaghi is the most prominent. Magnaghi describes the premise of this approach in his book, "*The urban village: a charter for democracy and local self-sustainable development*" (2005), stating that society, with particular emphasis on its economy, must rediscover its local roots and decentralise to promote local self-sustainable development. Ideally he sees a society made up of villages, and cities composed of villages, grouped into effective bioregions, each with its own local identity and traditions, cooperating as much as possible with each other. The villages would form cohesive communities, which mean above all that their members would be bound to each other by a set of reciprocal obligations, as was always the case in traditional societies (Magnaghi, 2005:xii). His work is similar to that of Ebenezer Howard's *Garden Cities of To-morrow* (1902) and Edward Goldsmith's *A Blueprint for Survival* (1972), in that it is a visionary ideal of what an "urban village" could be. While Howard's and Goldsmith's approaches are more familiar and thus do not need extensive elaboration, a more detailed discussion of Magnaghi's concept, namely that of Territorialism, may be necessary.

The departure point for the Territorialist concept is a critique of the "traditional" sustainable development concept, where both a strictly environmental vision of sustainability and the global quantitative development approach are challenged. Territorialism emphasizes the balance between (1) directing development towards fundamental human requirements (which cannot be reduced to material needs alone); (2) self-reliance and the development of self-government by local society; and (3) enhancing environmental quality. These three objectives need to be combined with due regard to "place-consciousness". This type of approach stresses the increasingly important role of the territory itself when tackling the problems of sustainability, and consequently assumes the production of territorial quality as a key indicator of lasting wealth (Magnaghi, 2005:ix).

The production of such an environment may be achieved by creating a virtuous synergetic relationship between the production of territorial added value (territorial sustainability), more self-government (political sustainability), a growth in the complexity and integration of decision-making systems (social sustainability) and the implementation of settlement rules producing new environmental balances (environmental sustainability) (Magnaghi, 2005:53). As such, the territorialist approach is anti-economist (because it believes the subordination of sustainability to the current laws of economic growth to be catastrophic) and anti-naturalist (since it believes that sustainability focused only on the putative objectivity of the natural laws applied to the human settlements is too rigid).

In the conceptual shift from the urban ecosystem to the territorial ecosystem, the analytical and planning emphasis is on the fact that each city is generated by its own territory, and also

regenerated by its bioregion (based on the theories of Patrick Geddes and Lewis Mumford) (Magnaghi, 2005:124). According to the Territorialist School, this conceptualisation produces an “implosive” urban model (designated as an “ecopolis”), with a radical reduction in the ecological footprint and a sensible retreat to self-reliance, the prerequisite for self-sustainability (Magnaghi, 2005:123). It forms part of a utopian vision of the world with a new fair trading between city and country, projects for cities of villages (ecopolis), constellations of caring cities, new territorial geographies, projects for new municipalities, ecotrading between North and South and bottom-up globalisation processes (Magnaghi, 2005:115).

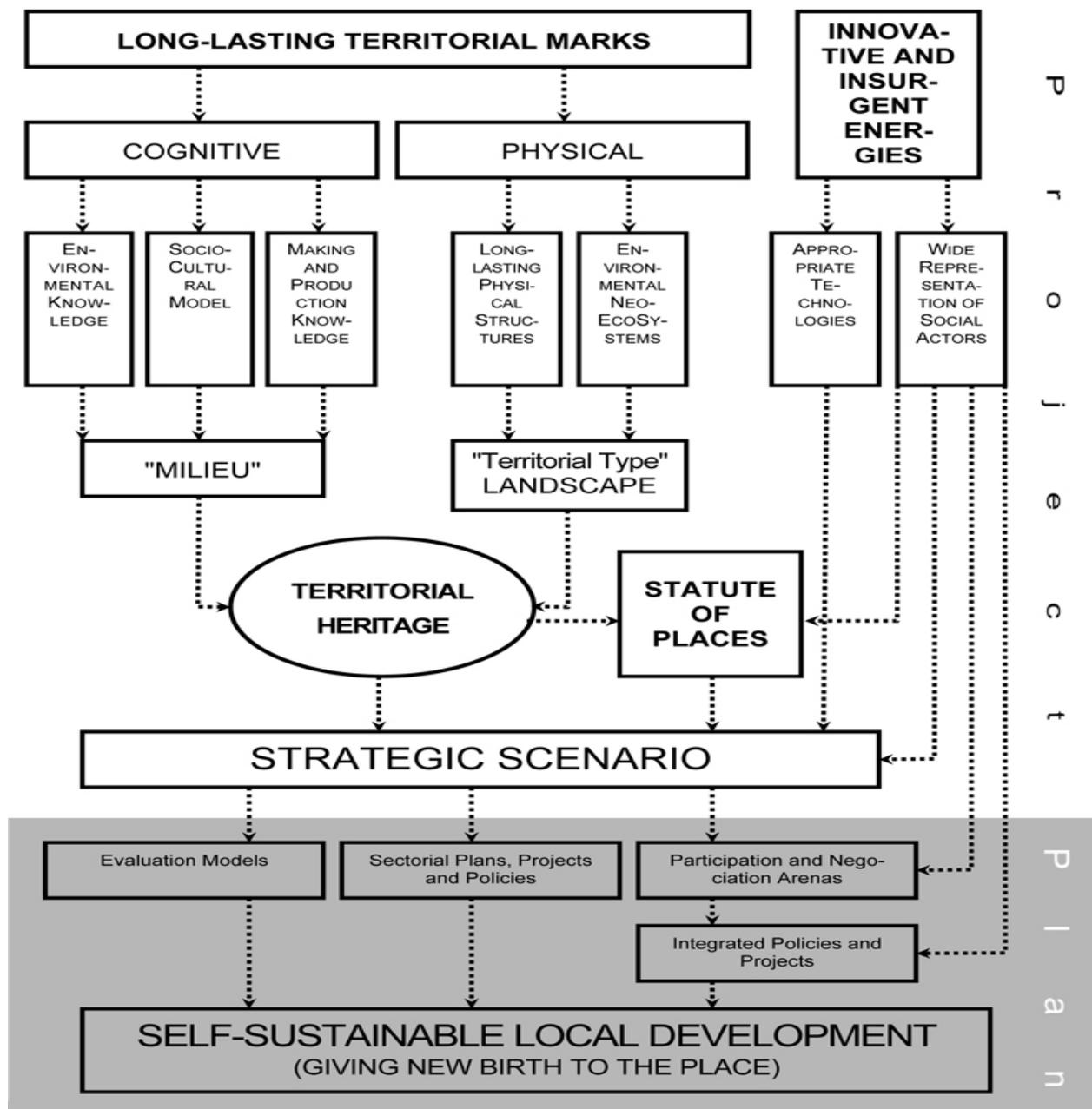


Figure 6-7: A planning process scheme (the "hydraulic" scheme) by Alberto Magnaghi

Source: Magnaghi (2008).

Magnaghi (2005:125) further illustrates the concept of the Ecopolis by describing its ideal as having the tendency for self-sufficient cycles of water, waste and food; and the reconstruction of the self-reproducing balances for water basins, a reduction in commuting and the transport of goods, the development of territorial-based integrated economies and the local widespread production of energy. All of these trends create a planning scenario which:

- Contributes to reducing the ecological footprint;
- Reconstructs the relationship of exchanges and trade between city and country;
- Increases the quality of dwelling and producing; and
- Restores proportions, boundaries and limits to settlements through rules of self-regeneration for agro-ecosystems, systems of surface and deep water and ecological networks.

The practical implication of this approach is that local production activities are focused foremost on the processes of self-reproduction, namely urban maintenance, basic services and mutual aid, urban horticultural gardens and local markets, environmental care, cultural and recreational activities, do-it-yourself building and local crafts. Each urban centre is separated from the others by agrarian landscapes linked through multi-purpose environmental integration into a single design for hydro-geological safeguards, the maintenance of micro-climates, the restoration of ecological networks, waste treatment, organic purifying and recycling of its water, energy production and the recovery of the ecosystem complexity of the historical landscape. The rural and urban spaces are both integral parts of each other and people see themselves as part of a “home region”, not a “home town”, each uniquely developed in its own way (Magnaghi, 2005:143-146).

Just as the “New Urbanism” has a “Charter for New Urbanism”, the Territorialist School has compiled a “Charter for a New Municipium”, presented in 2002 at the World Social Forum, Porto Alegre, in January 2002 (Magnaghi, 2005:173). The main components of the charter are set out in Table 6-7:

Table 6-7: Charter for a New Municipium

<p>1. Bottom-up globalisation.</p>	<p>Building fair networks of local societies, i.e. economic globalisation must be grounded in local differences and unique features to create non-hierarchical and non-exploitative cooperation.</p>
<p>2. The new role of local authorities in constructing bottom-up globalisation.</p>	<p>The empowerment of local societies through new democratic practices, creating communities with a single, shared responsibility for local production and life quality.</p>
<p>3. New forms of direct democracy.</p>	<p>A condition enabling participation – extended to people who usually have no say in institutional decisions – to define common interests in transforming conflict in reciprocal relationships. Decision-making institutions for the new citizenship include at least</p> <ul style="list-style-type: none"> • a representative for all economic interests and categories (crafts, farmers, shopkeepers, industry, tourism, etc.); • a representative of cultural, social and environmental associations; • a representative of civic committees and forums; and • a representative of the neighbourhood council.
<p>4. New multi-cultural territories.</p>	<p>Producing new community relationships at a social and individual level between different peoples and cultures. The public space in particular is where many new and culturally different living practices are shared.</p>
<p>5. New indicators of well-being (five criteria).</p>	<ul style="list-style-type: none"> • The extent and form of social participation in decision making compared to the target of empowering local societies. • A sharp reduction in the use of GDP as the only measure of well-being and its integration with other indicators referring to environmental, urban, territorial and social quality, and the recognition of social and cultural diversity. • The level and forms of recognition of the local heritage as the basis for the production of lasting wealth. • The sustainability of the ecological footprint, with special reference to: moves towards closed local cycles for water, water, food and agriculture; a reduction in movement (transport and traffic) and wider spread rare service; a greater degree of independence of local territorial system in production, information, culture and local lifestyles. • Types of relational networks and exchanges between local societies.
<p>6. New local self-sustainable economic systems.</p>	<p>Creating a closed local environmental and reproduction cycle, developing technologies and production systems suited to the local place and its resources, with commercial relations based on fair trading.</p>
<p>7. Enhancing the local territorial heritage.</p>	<p>Identifying the territory with peoples and places, and including its environment, landscape urban features, knowledge, cultures and crafts in its unique character as a living entity with a past and future. The territorial heritage is enhanced by bringing together a place's memory and long-term resources with forward-looking energies.</p>
<p>8. Fair trade and exchange networks.</p>	<p>Promoting new exchanges of cultures, typical local products, technical and political knowledge with a view to going beyond unregulated economic competition in favour of new cooperation. Fair exchange networks constitute the small-grained but dense mesh of “Lilliputian” strategy against economic globalization.</p>

Source: Magnaghi (2005:173).

The most relevant application of this approach to the South African circumstances may be providing for of the needs of people (safety, security, privacy, space for cultivation, affordability, etc.) in an open settlement form to reduce the impact on the environment and allow for integrated local governance (Landman, 2003). According to Magnaghi, it is specifically the planning issues of the periphery (and the condition of a 'periphery-city' in its various typological and temporal gradations such as urban sprawl, gated communities and informal settlements in the South African milieu) that need to be addressed. In using the "ecopolis" approach, a multiverse of centres and urban identities is identified in order to recompose the metropolis in a complex system of small cities (or villages or quarters) each with its own centre, boundaries and complexity made up of production activities and public spaces, and with its own municipality and aesthetic and environmental quality (Magnaghi, 2005:133). The purpose is not to isolate or separate communities but to strengthen the internal cohesion in local society and its complex integrated production structure, in order to lay the basis for the necessary independence to implement a system of fair and equal relations which other local societies (Magnaghi, 2005:202).

6.4 Micro-development in Africa

In an African context, there are numerous studies corroborating the success of a micro-development approach towards sustainable rural livelihood development (Dalal-Clayton, *et al.*, 2003; Jouve, *et al.*, 1996). However, Ndaro (1992:195) argues that local initiatives will remain marginal to the development process unless they are integrated with the planning efforts of government. In this regard, it is encouraging that in South Africa, micro-development is being promoted by national policies such as the National Development Plan (2012) and draft Urban Spatial Development Framework (2014). These policy documents make provision for village development, supporting the stance that effective sustainable rural livelihood development needs to take place at village level. The necessity for active involvement of local people in managing the resources they depend upon, and in planning their own development, cannot be denied (Dalal-Clayton, *et al.*, 2003:193), but they need institutional support from various levels of government if they are to succeed.

Taylor (1992:223), an advocate of local self-reliance in a rural context, provides the following arguments in support of micro-development (local level initiatives) in Africa, detailed in Table 6-8:

Table 6-8: Arguments in support of local self-reliance in Africa

- In the current state of crisis in Africa, local level initiatives are necessary for survival.
- African governments are unable to provide adequate development services and local people cannot depend on the state to provide them with sufficient means to improve their quality of life.
- There are unutilised or underutilised resources available at local scale, including financial resources, which could be mobilised for development purposes.
- The enormous diversity in rural Africa in economic, ecological, sociological and political terms is such that development can be effectively addressed only at the local level.
- Economically sound 'sustainable development', as emphasised by the Brundtland Report, has unique meaning at the local level.
- Central planning has inherent weaknesses and the need for decentralisation and devolution is paramount not only in Africa, but many other countries, both socialist and capitalist.
- Indigenously based knowledge has a major contribution to make to the development process and this local knowledge is effectively found at the local scale.

Source: Taylor (1992:223).

Considering that women in South Africa constitute a large percentage of the rural poor (NDP, 2012:42), it is obvious that micro-development strategies for sustainable rural livelihood development should specifically provide for their needs and priorities. Issues such as unequal access to ownership of land and the other social and power relationships which are included in the concept are particularly important (Taylor, 1992:236). Access to safe drinking water, electricity and quality early childhood education, for example, would greatly ease the burden of women having to generate survivalist strategies in rural areas (NDP, 2012:218). This needs knowledge of the diversity of rural areas and practising agricultural activity in order to avoid the exclusion of households due to ignorance and assist in contextualising and focusing interventions (Laurent, *et al.*, 1999:190).

Illustrating the effectiveness of micro-development approaches towards sustainable rural livelihood development in an African context, with a specific focus on women, is the Boma Project in Kenya (BOMA Project, 2009). The Boma Project in Kenya (a NGO) aims to alleviate poverty and build resiliency through their Rural Entrepreneur Access Project (REAP). It is a two-year poverty graduation programme that provides a cash grant (seed capital to launch a business), sustained training in business skills and savings, and hands-on local mentoring by village mentors to business groups of three women. REAP helps women to build a pathway out of extreme poverty by addressing three elements that contribute to the cycle of aid dependency in the arid lands of Africa: low incomes, inconsistent cash flows and inadequate financial services for the rural poor. Profits from each REAP business provide a diversified income, while

Boma savings associations help women to manage cash flow (for daily needs), plan for future expenses (such as school fees and medical care), and respond to shocks (such as drought or family emergencies).

Another example is that of the Millennium Villages initiative in Africa (Millenium Promise, 2006). Millennium Promise believes that villages can transform themselves and meet the Millennium Development Goals if they are empowered to implement inexpensive, community-led interventions. In addition to actively engaging communities to lead the implementation of these interventions, there is also the provision of low-cost, practical and integrated investment. It is tailored to meet the needs of each community in health, food production, education, access to clean water, and essential infrastructure and illustrated in Figure 6-8. These investments are provided to the villages under the scientific and technical guidance of the Millennium Promise Scientific Council, the UN Millennium Project and The Earth Institute at Columbia University. Millennium Promise also understands that the development of Millennium Villages (micro-development) cannot take place in isolation but need the support of government, partner organisations and, of course, the village members themselves.

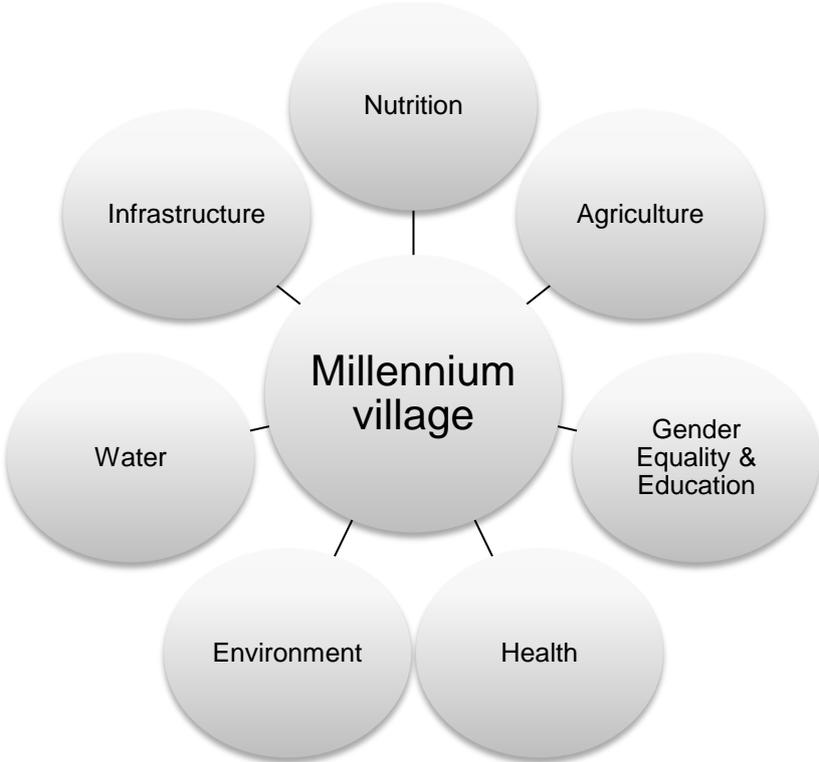


Figure 6-8: Millennium village focus areas

Source: Millennium Promise (2006).

6.5 Summary of chapter

A summary of the findings of this chapter is provided in Figure 6-9.

In terms of the spatial context of sustainable rural livelihood planning, there is tremendous potential for micro-development to result in sustainable development and poverty reduction.

The definition of micro-development in a rural context i.e. the agrovillage system.

- Smallest territory that has meaning for the local people.
- Management can be effective and efficient.
- ‘Life space’ defined in terms of community’s values and realities.

There is extreme differentiation of areas within ‘rural South Africa.

- Considerable diversity in local micro-environment contexts.
- Multiplicity of micro and macro relationships within ‘rural’ areas and between ‘rural’ and ‘urban’ areas.
- Determining influence of migratory patterns in space and time.

Key issues:

- Support from central (national & provincial) government and NGOs for localised decision making at local and village level.
- Promote an implementable compromise between top-down policies and bottom-up social networks in devolvement of powers.
- Respect micro-level contextual knowledge of communities in pursuing participative practice and self-reliance strategies for in sustainable rural development.
- Specific focus on empowerment of women for and in village decision-making structures.
- Demarcate rights and responsibilities in community control and management of resources.

Figure 6-9: Summary of chapter

Source: Own construction (2015).

It is clear from the preceding discussion that there is tremendous potential for village-based rural livelihood development to result in sustainable development and poverty reduction. Village-based rural livelihood development, as a manifestation of micro-development, would reflect

many aspects of sustainability on a small scale. It may also address the current needs of many rural people and realise some of the objectives of the National Development Plan (2012). It could even lead to a pattern of interconnected “villages” or mixed-use, self-reliant and human-scale centres (Silberstein & Maser, 2000:37).

However, the importance of local initiatives should not be romanticised. Taylor (1992:225) states that local initiatives cannot replace effective public provision but can only flourish in association with it. The promotion and consolidation of localised decision making (micro-development) can provide an implementable compromise between top-down policies and bottom-up social networks (Magnaghi, 2005:200-201). It is imperative to acknowledge, in this regard, that a workable and flexible balance between localism and the place of communities in the wider system be sought. In addition, micro-development is in nature too detailed to be easily included in broader policy, although it could inform the direction thereof (Dalal-Clayton, et al., 2003:127). Still, the NDP (2012:204) states that the complexity of ‘rural’ South Africa requires different and specific strategies in accordance with different settlement types, in order to develop rural sustainability.

Furthermore, the development of sustainable rural livelihood villages cannot be considered in isolation since their ecological footprint and financial viability are often very dependent on the larger urban environment. Landman (2003) even states that these villages will not be sustainable if not supported by the majority of the urban residents. It raises the question of whether such initiatives can be truly strategic and lead to sustainable development action, especially if those involved do not have the social, economic and physical resources to take advantage of this opportunity to attain sustainable rural livelihoods.

CHAPTER 7 POLICY AND LEGAL FRAMEWORK

According to Bunce (1982:189), the policies, programmes and legal frameworks of governments relating to development planning in rural areas of almost all governments can be divided into those that concentrate on providing support for and stimulating agricultural development, and those that contend with comprehensive rural development. With respect to agricultural development, all nations consider farming as an essential industry. Policy and legal interventions in this regard range from support and extension policies to structural reform in agriculture. With respect to comprehensive rural development, there are three main categories: those that are included with policies for depressed, marginal and remote areas, those aimed at the development of the rural sector *per se*, and those that are based upon the radical reform of rural society.

The policy and legal framework for rural development in South Africa includes almost all the intervention categories listed by Bunce (1982:190-201). The precedence that government gives to sustainable rural development is reflected in the plethora of parliamentary legislation and policies from the post-1994 ANC government (and some still in force from before 1994). For the purposes of this thesis only some pertinent Acts and guiding policies are highlighted. It is therefore by no means an exhaustive framework, but it does provide a broad perspective on the legislative and policy environment within which planning for a sustainable livelihood takes place. The purpose of this framework is to establish the enabling environment that has been created to support sustainable rural livelihood development.

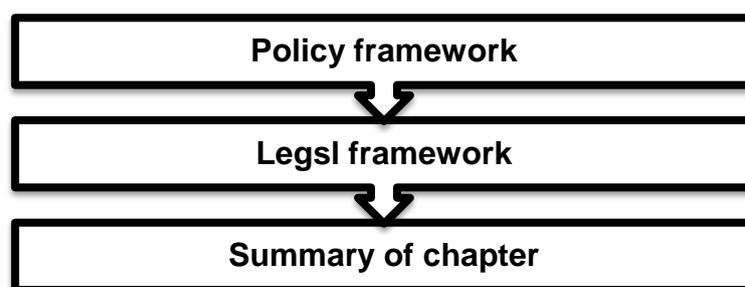


Figure 7-1: Chapter sections

7.1 Policy framework

In this section, only key policies that inform the policy framework that provides support for the development of sustainable livelihoods in general, and for predominantly rural areas in particular, are considered. Specifically the following policies are reviewed:

- Reconstruction and Development Programme (1994-1996);
- The Rural Development Strategy of the Government of National Unity (1995);

- The Rural Development Framework (1997);
- White Paper on Local Government (1998);
- Integrated Sustainable Rural Development Strategy (ISRDS) (2001);
- Breaking New Ground: Comprehensive Plan for the Development of Sustainable Human Settlements (BNG) (2004);
- Rural Transport Strategy for South Africa (RTS) (2007);
- War on Poverty Programme (2008);
- Comprehensive Rural Development Programme (CRDP) (2009);
- National Climate Change Response White Paper (2011);
- National Development Plan (NDP) (2012);
- National Environmental Health Policy (2013);
- Rural Development Policy Framework (2013);
- Draft Integrated Urban Development Framework (2014);
- National Policy on Food and Nutrition Security for the Republic of South Africa (2014); and
- The International Guidelines on Urban and Territorial planning (IG-UTP), UN-Habitat (2015).

7.1.1 The Reconstruction and Development Programme (1994-1996)

The Reconstruction and Development Programme (RDP) was launched as an ANC policy document before the democratisation of SA and was formalised in September 1994 as the government's White Paper on Reconstruction and Development (Binns & Nel, 2002:921). Its primary purpose was to address the socio-economic challenges of post-apartheid South Africa, by alleviating poverty and resolving the deficiencies of social service provision country-wide. The RDP was the guiding framework that determined the Government of National Unity's policies in its first term, and led to the Rural Development Strategy (October 1995), Urban Development Strategy (October 1995) and the Rural Development Framework (May 1997).

The RDP had six basic principles, namely an integrated and sustainable programme; a people-driven process; peace and security for all; nation building; linking reconstruction and development; and the democratisation of South Africa. The five key programmes that sought to

achieve these principles included meeting basic needs; developing human resources; building the economy; democratising of state and society and the implementation of the RDP. Developmental local government was viewed as the primary vehicle for delivery and as such, the RDP gave local government the broad mandate of meeting the basic needs of communities, as well as promoting a people-centred and democratic local government.

Initially, the RDP enjoyed general support, providing a mechanism for reconciling the diverse attitudes towards South Africa's development challenges while simultaneously acknowledging (to some measure) the realities of resource constraints (Blumenfeld, 1997:87). However, the RDP lacked implementation impetus, as it did not assign responsibilities for the implementation of its programmes, or provide mechanisms for inter-departmental coordination and setting priorities considering the relevant opportunities and constraints. This, in part, has led to the closure of the RDP Office in 1996 and the shifting in focus on other policies and legislation to achieve "people-centred, integrated, sustainable, and participatory development" (Mackay, 2004:39-40).

Although the RDP has been set aside, the primacy of its main tenet, namely the alleviation of poverty and addressing socio-economic problems, still dominate the ongoing policies and strategies of government for rural development.

7.1.2 The Rural Development Strategy of the Government of National Unity (October 1995)

Pursuant to the White Paper on Reconstruction and Development (1994), the RDP office compiled a Rural Development Strategy of the Government of National Unity, published as a general notice in October 1995 (Government of National Unity, 1995). The vision of this strategy was focused on freedom from poverty, employment, diverse agriculture and commercial and service sectors in country towns and greater access by rural people to government support and information. It set out mechanisms by which rural people and their elected representatives at rural district and local Councils could assume responsibility for the development process in their own areas, placing rural people at the centre of this strategy. This, of course, necessitated the prioritisation of building local government in rural areas.

The Rural Development Strategy acknowledged certain realities pertaining to the rural areas of South Africa, namely:

- the high levels of poverty, especially among those in women headed households;
- agricultural dualism, both in land use and support services;

- spatial chaos and stark contrasts between the former home lands and the areas around, in terms of settlement patterns, land ownership and use, transport and other infrastructure;
- historical restrictions on entrepreneurial development, and poor support; and
- new local government structures set up in 1995, with no history or experience of planning, democracy or service.

The goals and strategies for rural development in terms of this strategy and in addition to other government initiatives included the following:

- Creating structures of local government and local coordination that will allow rural people to set the priorities for development in their communities, supporting their access to government and non-government funding in promoting local economic development, influencing the infrastructure investment programme and maintenance of assets created, and access and control of service delivery;
- Necessity and insistence on involving communities in planning and managing projects and their budgets, and maintenance of assets;
- Creating greater equality in resource use in the rural areas, especially of
 - land, through better security of tenure, restitution and reform programmes, and farmer support to all producers;
 - water, through the extension of services, extension of rights, and charges in terms of the Water Act;
 - financial services, for production inputs, infrastructure development, and access to land, through extension of services and appropriate policy development; and
 - management, through training and capacity building of local government and community organisations;
- Increasing access to social services through the provision of physical infrastructure and services such as water and sanitation, transport, health services, and schooling;
- Increasing farm and non-farm production in poor rural areas, and increasing the incomes of poor rural men and women;
- Improving the spatial economy of rural South Africa, including through coordination and co-operation with the southern African region;

- Creating access to information for planning and implementing development projects and programmes at local level;
- Giving voice to the concern of the poorest, less organised community members through Community Development Facilitators; and
- Ensuring the safety and security of rural people.

Although it was intended that this document should serve as basis for a White Paper on rural development, it did not proceed further than a discussion document.

7.1.3 The Rural Development Framework (1997)

The Rural Development Framework (May 1997) attempted to provide specific guidelines with respect to involving rural people in local government and decisions affecting their lives as well as increasing rural local government's capacity to plan, implement and assemble essential information for planning, monitoring and evaluating both the process and progress of development. In addition, it promoted the increase of employment and economic growth in rural areas; provision of affordable infrastructure and services in rural areas and ensuring social sustainability in rural areas.

Perhaps the most enduring contribution of this framework to rural development in South Africa was its working definition of what "rural" areas constitute, which is still used by most government departments. This definition was influenced by the prevailing circumstances of rural communities prior to 1994, including that of former homelands. It is articulated as follows: "the sparsely populated areas in which people farm or depend on natural resources, including the villages and small towns that are dispersed through these areas. In addition, they include the large settlements in the former homelands, created by the apartheid removals, which depend for their survival on migratory labour and remittances."

The Rural Development Framework focussed on rural infrastructure, public administration, local government and rural non-farm employment. It emphasised the need for coordination for rural development and relevant information for development purposes. However, despite its contribution regarding the definition of rural areas, this also ended as a discussion document.

7.1.4 White Paper on Local Government (1998)

The purpose of the White Paper on Local Government (1998) was to establish developmental local government, in association with its constituents, groups and communities, in order to create sustainable human settlements that provide a decent quality of life and meet the social, economic and material needs of communities in a holistic way. This was in accordance with

local government being established as one of the three spheres of government in 1996, rather than a statutory institution. In 1998 the Municipal Demarcation Act (Act No. 27 of 1998) and the Municipal Structures Act (Act No. 117 of 1998) were promulgated to give territorial and structural effect to the policy

The White Paper on Local Government built on the broad mandate given to local government by the Constitution and RDP, that of addressing basic needs and redistributing capital spending to poor communities, which form the central idea behind municipal integrated development planning (IDP). It also emphasised that municipalities must particularly encourage the equal and effective participation of marginalised groupings such as women by including strategies aimed at removing obstacles to and actively encouraging their participation in local government.

The following principles for the provision of infrastructure and services by municipalities are detailed in the White Paper on Local Government (1998:74), namely equal and affordable access for all citizens to at least a minimum level of services, providing quality products and services, being held accountable for services provided, an integrated and sustainable approach towards service delivery and the promotion of democracy.

One of its significant contributions is the loose categorisation of settlement types it provides to facilitate an understanding of the diversity of settlements in South Africa, illustrated in Table 7-1:

Table 7-1: Settlement categories in South Africa

CATEGORY	DESCRIPTION
Urban core	Formal city and town, including the former white municipal and former townships areas. A key characteristic of these areas is their high population density, with generally over 10 dwelling units per hectare. These areas are characterised by high levels of economic activity, and consequently higher land values.
Urban fringe	Various settlement conditions which exist within the boundaries of municipalities, but outside the urban core. This includes low-income settlements on the outer edges of towns and cities, many of which display middle order densities and large service backlogs. However, it also includes high-income low-density settlements, particularly on the peripheries of metropolitan areas.
Small towns	Most have intermediate density levels and the characteristic apartheid urban form - a former white area with intermediate to high service levels, and former black areas with more limited access to services. Small towns vary greatly, but most are economically and socially linked to surrounding rural hinterlands.
Dense rural settlements (predominantly divided into “betterment” and informal settlements)	<p>“<i>Betterment settlements</i>”: common in the former homeland areas. These are dense, planned settlements, with populations of over 5 000 people.</p> <p>“<i>Informal settlements</i>”: unplanned and largely without services, with populations of over 5000 people. Some are close to urban areas, and others are located in rural areas with a minimal local economic base. Some intensive commercial farming settlements also fall within this category.</p>
Villages	Smaller rural settlements with populations of more than 500, but less than 5 000 people. These are often unplanned traditional settlements or resettlement areas.
Agrivillages	Planned, dense settlements in rural areas, which service the surrounding farms.
Dispersed/ scattered settlements	Mostly unplanned homestead settlements with a population of less than 500 people. Extensive settlements in commercial farming areas, some located on communal land and others on privately owned land, also fall within this category.

Source: South Africa (1998:19-20).

The categories provided above are not straightforward, however, but complicated by variations in features such as land tenure systems. Each of the settlement types described above contains a diversity of communities and households and individuals whose relationships to their living

space are shaped by the activities, interactions, needs and opportunities. The White Paper states that these settlement dynamics significantly influence the demands made on the resources of local government, which needs to be taken into account when defining approaches to service delivery and appropriate municipal institutional arrangements.

7.1.5 Integrated Sustainable Rural Development Strategy (ISRDS) (2001)

The Integrated Sustainable Rural Development Strategy, launched at the end of 2000 and later evolving into the Integrated Sustainable Rural Development Programme (ISRDP) and the Urban Renewal Programme (URP), had as its principal aim the integration of existing institutions, planning mechanisms, management and funding of the three government spheres. The ISRDS was intended to be a macro-level mechanism for coordinating existing programmes to better effect, and progressed beyond the Rural Development Strategy (1995) and the Rural Development Framework (1997) of the GNU. The expectation was to respond more effectively to the needs of disadvantaged communities, specifically through the efficient application of public funds, and contribute to rural poverty reduction. It mainly targeted former homeland areas and attempted the introduction of a spatial focus to address poverty and underdevelopment. Additionally, it defined an integrative approach towards development: a collection of services, anchor projects, linkages, offshoots, and financing protocol.

The vision of the ISRDS was to “(a)ttain socially cohesive and stable rural communities with viable institutions, sustainable economies and universal access to social amenities, able to attract and retain skilled and knowledgeable people, equipped to contribute to growth and development”. To attain this vision, the ISRDP stipulated better coordination of sectoral department delivery, with the pivot being demand driven development in the context of empowered local government. Municipal IDPs were designated as the principal instrument for integration, with technical and management assistance provided through ISRDS/P structures to develop local capacity. The objectives for this vision were as follows:

- *Coordination and integration:* To achieve integrated service delivery through co-coordinated planning, resource allocation and implementation by government and other stakeholders.
- *Efficient and effective local government:* To strengthen the capacities of local government entities so as to facilitate the inputs of various stakeholders in order to deliver integrated services responsive to community priorities.
- *Participation and empowerment:* To enhance the capacities of communities to articulate their priorities and participate in planning, implementation, monitoring and evaluation of their Integrated Development Plans (IDPs) and the ISRDP.

- *Sustainable economic growth:* All ISRDP nodes should achieve economic growth (including job and income creation and increased productivity) and equity, based on redistribution and empowerment.
- *Sustainable social development:* Supporting social change that promotes the well-being and access to social services of rural communities.
- *Environmental sustainability:* Access and benefit sharing in ISRDP nodes where programmes are implemented that protect, conserve and ensure sustainable use of natural resources.

Some of the challenges that the ISRDS/P faced included the difficulty of horizontal coordination between the sector departments of different spheres of governments, selection of appropriate rural nodes and lack of an independent budget for poverty relief efforts. Coordination proved to be especially difficult, considering that it could potentially include every national and provincial department because of the multi-faceted nature of poverty and appropriate responses to it. In terms of rural node identification, the ISRDS/P did not necessarily take cognisance of the macro pattern of spatial economic development (Harmse, 2010:429) and neglects to include several municipal areas in South Africa with very low levels of development as nodes. In addition, intervention at district municipal level failed to consider the involvement of communities at village, ward or local municipal level in the planning stages of intervention, preferring to view them as beneficiaries at the reporting stage. With respect to the lack of an independent budget, the ISRDP aims to alleviate poverty by creatively harnessing the resources that are already available, however it cannot enforce integrated planning and implementation.

7.1.6 Breaking New Ground: Comprehensive Plan for the Development of Sustainable Human Settlements (BNG) (2004)

During September 2004 the National Minister of Housing launched the “Breaking New Ground: A Comprehensive Plan for the Development of Sustainable Human Settlements” policy. Also known as the Breaking New Ground (BNG) policy, this plan reflects a change in policy from “the provision of housing” to “the creation of sustainable human settlements”. It is aimed at integrating previously excluded groups into cities and giving them access to the socio-economic benefits cities can bring. Although it targets urban environments, the principle of “sustainable human settlements” is also applicable in sustainable rural livelihood development.

The BNG details four primary objectives:

- *Sustainable human settlements:* “well-managed entities in which economic growth and social development are in balance with the carrying capacity of the natural systems on

which they depend for their existence and result in sustainable development, wealth creation, poverty alleviation and equity.”

- *Integration*: Spatial restructuring and integration by utilising housing as an instrument for the development of sustainable human settlements. Additionally, intra- and intergovernmental institutional integration is required in terms of integrated planning and coordinated investment.
- *Providing housing assets*: ensuring property can be accessed by all as an asset for wealth creation and empowerment, as well as supporting the functioning of the entire residential property market.
- *Upgraded informal settlements*: progressive eradication of informal settlements and urban inclusion to overcome spatial, social and economic exclusion.

7.1.7 Rural Transport Strategy for South Africa (RTS) (2007)

The purpose of the Rural Transport Strategy is the delivery of rural transport infrastructure and services in order to serve as a significant catalyst for sustainable economic development, improved social access and poverty alleviation in South Africa’s rural areas. The rationale and key operational aims of the Rural Transport Strategy are “firstly to achieve improved *strategic guidance and coordination* – both within the transport sector and within the broader cluster of key rural service delivery sectors – and secondly, to facilitate *accelerated service delivery* in neglected geographical and functional areas” (Department of Transport, 2007: 10). The necessity of improved guidance and coordination can be understood when considering the complex variety of rural transport service delivery agents, funding sources and mechanisms within the transportation sector, much of which involves the private and SMME sectors, and rural communities. In addition it should promote coordinated nodal and linkage development.

The delivery of most rural transport infrastructure and services will increasingly become a local government responsibility, funded through consolidated capital grants, the equitable share mechanism and transfers of monies in terms of the National Land Transport Transition Act (Act 22 of 2000). To guide and support this, and serve as the principal short-, medium- and long-term mechanism for the implementation of the rural strategy, a Rural Transport Development Programme (RTD programme) has been established. Some of the actions suggested in this programme form part of the gazetted rural transport strategic actions specified in the National Land Transport Strategic Framework (NLTSF). Seen together with the NLTSF, the RTD programme will be the principal guiding mechanism in terms of which the national and provincial spheres of government will perform their short-, medium- and long-term delivery, as well as facilitation and coordination roles.

The Rural Transport Strategy (2007) sets out to:

- Create a greater general appreciation of the potential catalytic development role of rural transport infrastructure and services, and the need to mobilise additional resources for this purpose.
- Provide the strategic guidance that is needed to ensure that the delivery of rural transport infrastructure and services is, indeed, sustainable, sufficiently responsive (i.e. in relation to typical rural conditions and transport demands), and developmentally effective (i.e. succeeding in addressing the economic and social access needs of the rural poor and other disadvantaged groups) and contributes to general job creation and economic upliftment in rural areas.
- Highlight how greater alignment and developmental synergies can be achieved, especially with those sectors that must serve a dispersed population from centrally located nodes, facilities and markets (e.g. health, education, and business support services) and those sectors involved in the provision of linkage infrastructure and services (especially telecommunications and other ICT-based services).
- Indicate some of the actions to be undertaken within the ambit of the rural transport development programme.

The RTD programme comprises 21 strategic actions that have been grouped in four action areas, listed below:

1. Alignment with ISRDP and related initiatives.
2. High-leverage focus projects and programmes, broken down into three components, namely:
 - (i) High-leverage RTI projects and programmes dealing with the provision of rural transport infrastructure,
 - (ii) High-leverage RTS projects and programmes dealing with the provision of rural transport services, and
 - (iii) The promotion of non-motorised and intermediate transport.
3. Regulation and safety.
4. Capacity building and monitoring.

7.1.8 War on Poverty Programme (2008)

The War on Poverty Programme was instituted by the Presidency in 2008 and could in some instances be declared as the direct forerunner for the Comprehensive Rural Development Plan. In accordance with this programme, an Anti-Poverty Inter-Ministerial Committee was established to coordinate and to integrate service delivery across spheres of government and non-government organisations. It required all levels of government to align their operation towards implementing a rural development programme.

7.1.9 Comprehensive Rural Development Plan (CRDP) (2009)

The Comprehensive Rural Development Programme (CRDP) (Strategic Priority Number 3 within the government's current Medium-Term Strategic Framework) was approved on 12 August 2009 by Cabinet. The strategic objective of the CRD (2009:13) P was to facilitate integrated development and social cohesion through participatory approaches in partnership with all sectors of society, achieved through a three-pronged strategy based on a coordinated and integrated broad-based agrarian transformation; strategically increasing rural development; and an improved land reform programme. Its purpose was thereby to "create vibrant, equitable and sustainable rural communities" that

- addressed poverty and food insecurity through maximising the use and management of natural resources;
- rectified past injustices and improve the standard of living through rights-based that address skewed patterns of distribution and ownership of wealth and assets; and
- facilitated integrated development and social cohesion through participatory approaches in partnership with all sectors of society.

The most important strategy pursued in achieving the CRDP's strategic objectives (2014a) has been agrarian transformation. Agrarian transformation in this context meant the "rapid and fundamental change in the relations (systems and patterns of ownership and control) of land, livestock, cropping and community". The objectives of the agrarian transformation strategy included but were not limited to:

- Social mobilisation to enable rural communities to take initiatives;
- The establishment of sustainable settlements (providing access to basic services and economic opportunities; meeting basic human needs; and developing appropriate infrastructure);

- The establishment of cooperatives and enterprises for economic activities, wealth creation, and the productive use of assets;
- The promotion of non-farm activities for the strengthening of rural livelihoods;
- Leadership training, social facilitation and the development of familiarity with CRDP objectives and socio-economic independence;
- Skills development and employment creation (especially for youth, women and people living with disabilities);
- The democratisation of rural development as well as the participation and ownership of all processes, projects and programmes by rural communities;
- Coordination, alignment and cooperative governance (Local Municipalities, Traditional Councils, Provincial Government and rural communities);
- The participation of non-governmental organisations including faith-based organisations, community-based organisations and other organs of civil society; and
- The promotion of social cohesion and the provision of access to human and social capital

With respect to land reform and land reform systems, the CRDP viewed land as a catalyst for poverty alleviation, job creation, food security and entrepreneurship. As such, the strategy had three principle approaches, namely tenure reform, restitution and land redistribution, which have already been launched in 1994.

The cornerstones of implementing the CRDP are community socio-economic profiling, community participatory processes and intergovernmental cooperation. Profiling assisted in contextualising development and developing a community engagement strategy to be congruent with the War on Poverty Campaign approach. To support community participatory processes, the CRDP proposed the construction of new and revitalisation of old infrastructure for socioeconomic development, as well as facilitating the access to information via Information and Communication Technologies. Furthermore, social mobilisation of rural communities to take initiatives included such actions as establishing community structures where they do not exist, mobilising stakeholders to support community empowerment, skills development initiatives in line with identified needs and opportunities, and the participation of NGOs. In Figure 7-2 the areas where intergovernmental cooperation are envisaged for the implementation of the CRDP's vision, are illustrated.

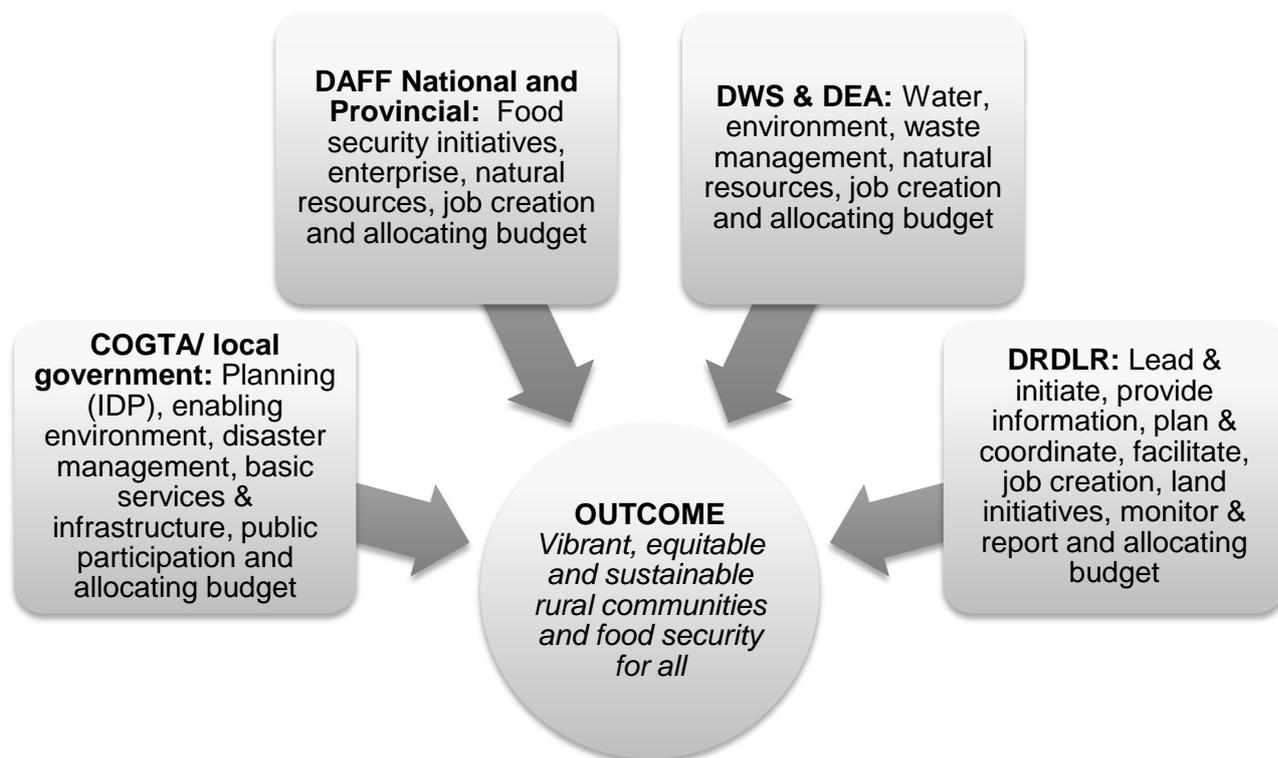


Figure 7-2: Intergovernmental organisation to achieve CRDP's vision

Source: South Africa. Department of Rural Development and Land Reform (2009:23).

7.1.10 National Climate Change Response White Paper (2011)

The White Paper on National Climate Change response states that it has two objectives, namely effectively managing inevitable climate change impacts through interventions that build and sustain South Africa's social, economic and environmental resilience and emergency response capacity; and making a fair contribution to the global effort to stabilise greenhouse gas (GHG) concentrations in the atmosphere. The approach that the White Paper advocates is one that is needs driven and customised; developmental; transformational; empowering and participatory; dynamic and evidence-based; balanced and cost effective; and integrated and aligned. In particular, it supports the upliftment of the poor and vulnerable (such as those in rural and predominantly rural areas), as well as the economic, social and ecological sectors of intra- and intergenerational sustainable development. This approach dovetails with that of sustainable livelihood development.

7.1.11 National Development Plan (NDP) (2012)

The Department of Planning, Monitoring and Evaluation (DPME) in the Presidency is responsible for the compilation and implementation of the National Development Plan (2012). The DPME is the successor of the National Planning Commission, which have been established as part of government's efforts to improve long-term planning and to determine a common set of

objectives and priorities for South Africa as a whole (South Africa, 2010:3). The National Planning Commission was situated in the presidency and consisted of an advisory body of 26 people drawn largely from outside government, chosen for their expertise in key areas. In 2012 it published the National Development Plan (NDP), which states that it “envisions a South Africa where everyone feels free yet bounded to others; where everyone embraces their full potential, a country where opportunity is determined not by birth, but by ability, education and hard work. Realising such a society will require transformation of the economy and focused efforts to build the country's capabilities. To eliminate poverty and reduce inequality, the economy must grow faster and in ways that benefit all South Africans.” (South Africa. The Presidency: National Planning Commission, 2012:24).

The goals and objective of the NDP (2012:23) are an economy that will create more jobs, build capabilities, improve infrastructure, build environmental sustainability and resilience, improve the quality of education, provide quality health care for all, build safer communities and fight corruption. The NDP recognises that rural communities require greater social, economic and political opportunities and therefore gives specific attention to environmental sustainability (an equitable transition to a low-carbon economy) in Chapter 5 and an integrated and inclusive rural economy in Chapter 6.

The NDP (2012) serves as the key policy document of government for the next 20-year phase of development in South Africa, focused principally on the economic advancement of the poorest South Africans. To give effect to the NDP, a five-year implementation plan namely the Medium Term Strategic Framework (MTSF) has been approved by Cabinet for 2014 to 2019 (Radebe, 2014). Its purpose is to serve as prioritisation framework; aimed at focusing government efforts on a set of manageable programmes. The strategic objectives and targets for rural development and land reform are summarised as follows:

Strategic objectives:

- Improving land administration and spatial planning for integrated development.
- Improving food security.
- Increasing access to quality basic infrastructure and services, particularly in education, healthcare and public transport.
- Growing sustainable rural enterprises and industries characterised by strong rural-urban linkages, increasing investment in agro-processing, trade development and access to markets and financial services - resulting in rural job creation.

Specific actions to achieve these goals include:

- Developing and implementing spatial development plans to guide how land is used while prioritising the 27 resource-poor district municipalities.
- Acquiring and allocating 2 million hectares of strategically located land for land reform.
- Developing under-utilised land and bringing into production 1 million hectares of land in communal areas and land reform projects.
- Expanding land under irrigation by an additional 1 250 hectares.
- Eradicating infrastructure backlog in rural schools, rural health facilities and provide rural communities with ICT infrastructure.

7.1.12 Rural Development Policy Framework (RDPF, 2013)

According to the DRDLR (2013:4), the Rural Development Policy Framework (RDPF, 2013) has come about as a consequence of the effects of the dispossession of land and deprivation of land use rights, culture and social cohesion of rural black South Africa, particularly the 1913 Natives Land Act. The resultant underdevelopment in rural and peri-urban (*sic*) areas of South Africa were attributed to the various discriminatory practices and laws of the pre-colonial, colonial, apartheid and post-apartheid eras. The policies informing and guiding the RDPF (2013) were the Freedom Charter and RDP, as well as the National Rural Development Strategy (NRDS, 1995), Broadening of Access to Agriculture Thrust (BATAT, 1996), the Rural Development Framework (RDF, 1997), the Integrated Sustainable Rural Development Strategy (ISRDS, 2001), and the National Spatial Development Perspective (NSDP, 2006).

The principal mechanism identified through which the aims of the RDPF were to be achieved is the CRDP (2009). To determine the extent and efficacy of rural development initiatives within the CRDP, certain measurements are identified. Firstly, basic human needs (shelter, water, sanitation, food, electricity, etc.) must be met; secondly, rural enterprise and infrastructure (social, economic, ICT and other enabling infrastructure) must be developed; and thirdly, rural industries (i.e. agri-processing), village markets and credit/finance facilities must be established.

The other implementation mechanisms include social mobilisation (based on community and household profiling), a Council of Stakeholders as planning and monitoring body (inclusion of community in the development process), CRDP Management System (cooperative governance, inclusion of the private sector and community and local leadership) and a Rural Development Agency (RDA). The purpose of the RDA is to mobilise, coordinate and manage resources; finance rural development projects; and coach and train participating co-operatives in business

and managerial skills. However, instead of a “new” agency, it should rather be a rationalisation of existing rural development agencies.

Other support systems for the RDPF expounded upon include: a reformed communal tenure system; democratized rural administration system; Rural Investment and Development Financing Facility (RIDFF); National Rural Youth Service Corps (NARYSEC); Animal and Veld Management programme (soil rehabilitation, re-greening the village space and decongesting the village space); river valley catalytic programme; and the revitalisation of rural towns and villages. The proposal from the DRDLA (2013a:26) for a Rural Investment and Development Financing Facility (RIDFF) was to ensure that the necessary institutional capacity to support the implementation of the CRDP could be provided.

The RDPF (2013b:25) emphasised the differential reality of rural areas with respect to demographic, social and economic contexts, as well as institutional capacity, which required area-specific strategies for the development of sustainable human settlements. New forms of rural settlements were proposed, as well as the transformation or improvement of existing ones. Some of the iterations of sustainable human settlements that the RDPF supported include agrivillages, SMART villages (Sustainable, Managed Assets, Resources and Technology) and agriparks.

The RDPF identified two elements integral to achieving rural development, namely collaboration between a variety of partners (including alignment between different government departments and spheres) and the social mobilisation and organisation of rural people into functional groups so that communities can effectively take charge of their own development.

7.1.13 National Environmental Health Policy (2013)

The National Environment Health Policy aspired to provide a national framework for the provision of environmental health services in the country, determining the vision for environmental health and influence health outcomes. The impetus for this Policy comes from the Medium Term Strategic Framework (2009-2014) for the National Development Plan, which had as one of its goals the improvement of the health status of the South African population. It considered that avoidable environmental risk factors (with particular effect on the poorest and the most vulnerable groups of society) can be mitigated, with the broadening and deepening the extent and scope of community involvement and social mobilisation in all aspects of health provision at local level. Government endeavoured, through this policy, to identify development needs in environmental health, particularly for populations which lack awareness and services due to historical imbalances. This should be achieved by outlining environmental health services, the promotion of intersectoral collaboration in the provision of environmental health

services and by integrating environmental considerations with the social, political and development needs and rights of all individuals, communities and sectors. This policy therefore stated the following objectives:

- Promoting a legal and regulatory framework that ensures mandatory but also supports voluntary compliance and also facilitates policy implementation by various actors.
- Formulating an institutional framework that enables efficient coordination and collaboration of the various sectors and stakeholders that have environmental health related responsibilities.
- Ensuring an effective institutional capacity for rendering environmental health services.
- Strengthening the capacity of environmental health personnel to become efficient agents and catalysts for desired change.
- Adopting a partnership approach with the purpose of facilitating holistic and integrated planning in environmental health.
- Facilitating the development and maintenance of an effective Environmental Health Management Information System.
- Strengthening international co-operation on issues affecting environmental health.
- Improving monitoring of environmental health conditions that may impact on the physical environment and human health.
- Promoting community participation and development through empowerment in environmental health, to contribute to promotion of own health.
- Contributing to strengthening environmental hygiene programmes as part of disease prevention and health promotion.

7.1.14 Draft Integrated Urban Development Framework (2014)

The draft Integrated Urban Development Framework (IUDF) (2014) has been compiled by the Department of Co-operative Governance, primarily in response to the National Development Plan (2012), particularly Chapter 8. Although the foremost concern of the IUDF is to provide an urban policy perspective, it also recognises the need for a spatial transformation agenda that is all-encompassing. In this regard the IUDF has been substantively informed by the NDP in its calls for spatial redress, improved spatial efficiencies and social inclusion.

The IUDF also recognises that urban and rural areas are dynamically linked through flows of people, and natural and economic resources. Rural development and urban development policy frameworks should strengthen these linkages, as a mechanism to achieve sustainable and inclusive development by:

- Linking functional geographical areas through various levers and other strategic initiatives.
- Creating synergies between enterprises in urban and rural areas.
- Developing value-chains between various economic sectors.

There are several strategies and proposals made in the IUDF that can support the development of sustainable rural livelihoods, for example speeding up land tenure, support municipalities to implement SPLUMA, develop models for civic education, build institutional capacity to engage with communities and explore co-production mechanisms for finding solutions to local government services.

One of the policy levers espoused by the IUDF that has particular relevance to the development of sustainable rural livelihoods is that of empowered active communities. The IUDF states that empowered active communities result in robust and sincere public participation processes, innovation and productivity, as well as improved lives of people and their physical environment. Some examples include community policing forums, school governing bodies and ward-level service delivery improvement plans.

The IUDF does recognise that there are challenges in achieving its vision, which include the following:

- Inadequate skills and experience in government and civil society.
- Lack of innovative, co-produced solution to service delivery dissatisfaction.
- Limited understanding of government structures and operations.
- A dearth of forums to promote participation and social cohesion.

Perhaps the most important contribution of the IUDF to sustainable rural livelihood planning is its emphasis on promoting active citizens who participate meaningfully in the planning and development of their immediate environment, and the proposals it makes in this regard.

7.1.15 National Policy on Food and Nutrition Security for the Republic of South Africa (2014)

As stated in section 7.2.7, Section 27 of the Constitution details the rights of people to have access to sufficient food and water. This policy was compiled to provide a broad framework for the fulfilment of this Constitutional imperative, as well as serve as a guideline to national, provincial and local government in pursuit of food and nutrition security at every level. It is considered as part of the National Development Plan and was approved by Cabinet in September 2013, with the Department of Agriculture, Forestry and Fisheries and the Department of Social Development nominated as lead agencies to implement the policy, supported by other line function Ministries. As with most policies that aim to address a multi-dimensional issue, it emphasises well-managed inter-sectoral coordination, and the integration of existing policies and programmes in health, education, and environmental protection, as well as in agrarian reform and agricultural development.

The strategic goal of the National Food and Nutrition Security Policy is to ensure the availability, accessibility and affordability of safe and nutritious food at national and household levels. To achieve this, the Policy intends to build on existing initiatives and systems, and to put in place mechanisms that ensure stricter alignment, better coordination, and stronger oversight. In this process, it provides a framework for various strategies that include increased and better targeted public spending in social programmes which impact on food security; efforts to increase food production and distribution, including increased access to production inputs for the emerging agricultural sector; leveraging Government food procurement to support community-based food production initiatives and smallholders; and the strategic use of market interventions and trade measures which will promote food security.

7.1.16 The International Guidelines on Urban and Territorial planning (IG-UTP), UN-Habitat (2015)

South Africa is one of the co-sponsors of Resolution 25/6 of the UN-Habitat Governing Council that approved the International Guidelines on Urban and Territorial Planning (IG-UTP) (2015). This policy document synchronises with other policies adopted by UN-Habitat, namely the International Guidelines on Decentralization and Strengthening of Local Authorities (2007) and the International Guidelines on Access to Basic Services for all (2009).

The purpose of the International Guidelines on Urban and Territorial Planning (IG-UTP) is to provide a global framework for improving policies, plans and designs for more compact, socially inclusive, better integrated and connected cities and territories that foster sustainable urban development and are resilient to climate change (United Nations Human Settlements

Programme (UN-Habitat), 2015). It views urban and territorial planning as more than a technical tool but also an integrative and participatory decision-making process to address competing interests. Furthermore, it represents a core component of governance at national, regional and local level, promoting local democracy, participation, transparency and accountability to ensure sustainable development.

It is significant to note that the IG-UTP, the NDP and the IUDF all reflect an understanding of the interconnectedness of rural and urban areas, especially in rural Africa, as well the diversity and distinct needs of various groups; and the importance of supporting and developing strong local governance to enable sustainable development.

7.2 Legal framework

In this section, the acts that generally provide support for the development of sustainable livelihoods in general and in predominantly rural areas in particular, are reviewed. The particular Acts cited are:

- Conservation of Agricultural Resources Act (1983);
- Environmental Conservation Act (1989);
- Upgrading of Land Tenure Rights Act (1991);
- Less Formal Township Establishment Act (1991);
- Development Facilitation Act (1995);
- Communal Property Associations Act (1996);
- The Constitution (1996);
- Housing Act (1997);
- Environmental Management Act (1998);
- Water Services Act (1997);
- National Water Act (1998);
- Marine Living Resources Act (1998);
- Local Government Municipal Structures Act (1998);

- National Heritage Resources Act (1999);
- Municipal Systems Act (2000);
- Disaster Management Act (2002);
- Traditional Leadership and Governance Framework Act (2003);
- Biodiversity Act (2004);
- Air Quality Act (2004);
- Integrated Coastal Management Act (2008);
- Waste Act (2008); and
- Spatial Planning and Land Use Management Act (2013) and Regulations (2015).

7.2.1 Conservation of Agricultural Resources Act (CARA) (Act 43 of 1983)

The stated purpose of the Act is to provide for control over the utilisation of the natural agricultural resources of the Republic in order to promote the conservation of the soil, the water sources and the vegetation and the combating of weeds and invader plants; and for matters connected therewith. Regulations promulgated under this Act make provision for control measures, weeds and invader plants, and conservation committees. With respect to control measures, the Regulations have stipulations for:

- Cultivation of virgin soil;
- Cultivation of land with a slope;
- Protection of cultivated land against erosion through the action of water;
- Protection of cultivated land against erosion through the action of wind;
- Prevention of water logging and salination of irrigated land;
- Utilisation and protection of vleis, marshes, water sponges and water courses;
- Regulating of the flow pattern of run-off water;
- Utilisation and protection of veld;
- Grazing capacity of veld;

- Number of animals that may be kept on veld;
- Prevention and control of veld fires;
- Restoration and reclamation of eroded land; and
- Restoration and reclamation of disturbed or denuded land.

Communities in rural and predominantly rural areas primarily dependent on natural resources for their livelihoods are significantly affected by CARA regulations, particularly in their endeavour to achieve sustainable livelihood development. These regulations can provide the necessary guidelines for these communities to assist them in determining the sustainable use of the natural resources at their disposal.

7.2.2 Environmental Conservation Act (Act 73 of 1989)

The Environment Conservation has now largely been replaced by the National Environmental Management Act (NEMA), 1998, but certain provisions still remain in force. In particular, the following Notices and Regulations issued under this Act have bearing on, and support the development of, sustainable livelihoods:

- General Policy in terms of the Environment Conservation Act.
- Noise Control Regulations and Application of Noise Control Regulations.
- Waste Disposal Sites Regulations.
- Directions issued in terms of section 20(5)(b) with regard to the control and management of general community and general small waste disposal site.
- Waste Tyre Regulations.
- Plastic Carrier Bags and Plastic Flat Bags Regulations.
- Regulations for the use, manufacturing, import and export of asbestos.
- Designation of provincial competent authority and local authorities who may issue authorisations for the undertaking of identified activities in the Outeniqua Sensitive Coastal Area Extension (1996 & 1998).
- Identification of activities which may have a detrimental effect on the environment: Outeniqua Sensitive Coastal Area Extension (1996 & 1998).

- Regulations issued in terms of section 26 regarding identified activities concerning the Outeniqua Sensitive Coastal Area Extension (1996 & 1998).
- Designation of provincial competent authority and local authorities who may issue authorisations for the undertaking of identified activities in the Pennington Sensitive /Coastal Area and Umtamvuna Sensitive Coastal Area.
- Identification of activities which may have a detrimental effect on the environment: Pennington Sensitive Coastal Area and Umtamvuna Sensitive Coastal Area.
- Regulations issued in terms of section 26 regarding identified activities concerning the Pennington Sensitive Coastal Area and Umtamvuna Sensitive Coastal Area.
- Reservation of land as a Natural Area: Rietvlei Area.
- Reservation of land as a Natural Area: Langebaan Area.
- Directions in respect of land in a Nature Area.
- Directions for the management and development of land situated in the Cape Peninsula Nature Area.
- General Policy Regarding Terrestrial and Marine Protected Areas.
- Recognition of the Parks Board as a government institution.

7.2.3 Upgrading of Land Tenure Rights Act (Act 112 of 1991)

The purpose of this Act is to enable the upgrading and conversion into ownership of certain land tenure rights and to incorporate the registration of these upgraded rights in accordance with the formal deeds registry system. The Act also provides for the transfer, in full ownership, of tribal land to tribes. This is in response to the 1991 White Paper on Land Reform which promotes freehold tenure as the desirable land tenure form throughout the Republic. The Act sets out the mechanism whereby such a state of affairs may come about. In terms of sustainable livelihood development, this is an important issue to enhance place commitment or, in other words, enabling a community to “commit” to developing sustainable livelihoods in a specific place.

7.2.4 Less Formal Township Establishment Act (Act 113 of 1991)

The Less Formal Township Establishment Act provides for shortened procedures for the establishment of townships, for less formal forms of residential settlement, and to regulate the use of land by tribal communities for communal forms of residential settlement. This act is

administered by the provinces and it provides for the exclusion of certain laws and the suspension of servitudes and restrictive title deed conditions. Concurrent with the DFA, however, it shifts decision making from the municipalities to the provinces, and it can therefore be challenged in the Constitutional Court. Still, it provides the same incentive for sustainable livelihood development as the Upgrading of Land Tenure Rights Act, 1991.

7.2.5 Development Facilitation Act (DFA) (Act 67 of 1995)

The short title of the Act states that its purpose is “to introduce extraordinary measures to facilitate and speed up the implementation of reconstruction and development programmes and projects in relation to land”. Specifically, the DFA was conceived of as an interim measure to facilitate accelerated housing delivery. It encourages efficient and integrated land development by promoting the integration of the social, economic, institutional and physical aspects of development and also by promoting integrated land development in urban and rural areas. However, sections of this legislation have since been declared unconstitutional since its enactment, as it usurped the decision making powers of municipalities, and it was required to be repealed or amended by June 2012. Nevertheless, despite Chapter V and VI of the Act being declared unconstitutional by the court, its General Principles for Land Development, as contained in Chapter 1, Section 3 of the Act, are still deemed valid.

7.2.6 Communal Property Associations Act (Act 28 of 1996)

The Communal Property Associations Act enables communities to form juristic persons, to be known as communal property associations, in order to acquire, hold and manage property on a basis agreed to by members of a community. This has to be done in terms of a written constitution.

7.2.7 Constitution (Act 108 of 1996)

The Constitution of the Republic of South Africa, 1996 is the most important guiding and informing legislation for sustainable development planning in South Africa. It provides a framework for the creation of law, the protection of human rights and the election of political representatives. In the preamble it states its intentions as that of:

- Healing the divisions of the past and establishing a society based on democratic values, social justice and fundamental human rights;
- Laying the foundations for a democratic and open society in which government is based on the will of the people and every citizen is equally protected by law;
- Improving the quality of life of all citizens and free the potential of each person; and

- Building a united and democratic South Africa able to take its rightful place as a sovereign state in the family of nations.

The Constitution enshrines the Bill of Rights (Chapter 2) and sets in place a democratic system of government. The Bill of Rights is specifically relevant when considering sustainable livelihood provision, notably Sections 24, 26, 27, 29, 30 and 31. Section 24 upholds the rights of citizens with respect to their environment, supporting the maintenance and protection of a healthy and productive environment that is conducive to the well-being of present and future generations. Section 26 deals with the right of access to adequate housing and the government's responsibility to provide people with housing and access to land. Section 27 details the rights of people with respect to health care services, enough food and water and social security (in other words support for people who can't support themselves or their dependants). In Section 29 everyone's right to basic education (including adult basic education) and further education is pledged. Section 30 asserts that every person has the right to use their own language and follow the culture that they choose. A person has the right to enjoy his/her culture, use his/her language and form his/her own cultural associations in civil society. Furthermore, Section 31 states that communities have the right to enjoy a shared culture, practise a shared religion and use their own language. However, there is a proviso that the rights of Section 30 and 31 should not transgress the rights of others.

In addition to the Bill of Rights, the Constitution strives to establish a system in which various levels and structures of government actively co-operate with each other, as a means of enhancing governance and the efficacy of government structures and promoting participation by citizens. Every institution that forms part of this state will consequently have to order its functions with policy statements resulting from the constitution. Comprehensive constitutional transformation for the Republic of South Africa took place after 1993, with the aim of redressing the inequalities of the past, including the fundamental reform of local governmental and administrative systems. As a result the Republic of South Africa Constitution Act, 1983, (Act 110 of 1983) was repealed by the Interim Constitution of the Republic of South Africa, 1993 (Act 200 of 1993), which in its turn was repealed by the Constitution of the Republic of South Africa, 1996 (Act 108 of 1996). Through this new Constitution, the legislative, governmental and administrative institutions on all levels of government have been reformed, providing specifically for public institutions with prescribed functions.

The Constitution of the Republic of South Africa, 1996 (Act 108 of 1996), provides the basis for all government in South Africa. It identifies three spheres of government that are distinctive, interdependent and interrelated, enjoying a measure of autonomy while cooperating with, and respecting the functions and operations of others. The Act determines that Parliament is the dominant legislature in municipal affairs and it has to ensure the effective performance of

provincial and municipal legislatures. However, because provincial legislatures are nearer to local authorities than Parliament, the implication is that provincial legislatures should be better able than Parliament to bring about effective performance by the municipal legislatures. Also, provincial legislatures are empowered to pass legislation on a variety of local government matters, for instance municipal roads, noise pollution and street trading. Nevertheless, in Chapter 7, Section 151, provision is made for local authorities to govern on their own and for protection against actions and decisions by national and provincial government that could compromise or impede a municipality's ability or right to exercise its powers or perform its function. In fact, subsection 154 (1) with the heading *Municipalities in co-operative government* states that national and provincial governments must support and strengthen the capacity of municipalities to manage their own affairs, to exercise their powers and to perform their functions. In addition, the Constitution asserts the developmental nature of local government in Section 153.

In addition Chapter 12 recognizes the status and authority of traditional leaders and customary law, subject to the Constitution. Thus the Constitution creates an enabling environment for integrated development planning to take place at local government level. The Constitution states that municipalities (local government) have a duty to prioritise meeting the needs of disadvantaged communities, while Section 152(1)c states that one of the objectives of local government is "to promote social and economic development" (RSA,1996). Thus the Constitution provides legislative support to accomplish the two principal objectives of integrated development planning, namely the integration of previous disparate spatial developments, as well as the integration of the efforts of different government spheres and departments in utilising limited resources to achieve better living conditions for communities. It is also the precursor of more comprehensive legislation to achieve these objectives, i.e. the Municipal Structures Act (1998) and the Municipal Systems Act (2000).

7.2.8 Housing Act (Act 107 of 1997)

In terms of Section 26 of the Constitution, all people are guaranteed the right to adequate housing, which includes more than the right to access to shelter. It also involves an approach that considers factors such as the legal security of tenure, the availability of services, affordability, habitability, accessibility, location and cultural adequacy. The purpose of the Housing Act is to provide an approach that considers these and other factors by facilitating a sustainable housing development process, as stated in its preamble. The general principles in support of this, as set out in Section 2 of the Act, include the establishment, development and maintenance of socially and economically viable communities in safe and healthy living conditions, providing a range of housing options, community and recreational facilities with due cognisance of the expression of cultural identity and diversity in housing development. It also

promotes the encouragement and support of co-operatives, associations and other bodies which are community-based, in their efforts to fulfil their own housing needs by assisting them in accessing land and services, and in providing them with technical assistance in a way that leads to the transfer of skills to and the empowerment of the community. In essence, the Act supports community-based planning in the provision of adequate housing, as well as promoting sustainable livelihood development.

7.2.9 National Environmental Management Act (NEMA) (Act 107 of 1998)

In terms of Clause 24 of the Constitution, the right of present and future generations to a healthy environment is a fundamental part of the Bill of Rights. The Department of Environmental Affairs is mandated to give effect to this right through the NEMA. The Act strives to ensure the protection of the environment and the conservation of natural resources, balanced with sustainable development and the equitable distribution of the benefits derived from natural resources. Furthermore, the NEMA provides for co-operative governance and decision making in matters affecting the environment and is based on international principles of sustainable development and integrated environmental management. It supports environment-friendly practices as a way of life by reinforcing the role of conscious environmental living within the context of the country's economic and social development programme.

Furthering NEMA's goal of balancing environmental protection and conservation of natural resources with that of sustainable development and the equitable resource distribution, the following Regulations and Notices has been issued under this Act:

- Environmental Impact Assessment Regulations (2014).
- National Appeal Regulations (2014).
- National Exemption Regulations (2014).
- Regulations on the Fees for Consideration and Processing of Environmental Authorisations.
- Regulations dealing with Environmental Management Inspectors (2005 & 2006).
- 4x4 Regulations (2001 & 2004).
- Clean Development Mechanism Regulations (2005).
- Guidelines for the EIA Regulations (2010); Environmental Management Frameworks; Public Participation; Fee Regulations (2014); on need and desirability in terms of the EIA (2010);

EIA Listed Activities and Timelines (January 2015); and Section 24G and Similar Listings (January 2015).

- Wild Coast Environmental Management Plan
- Vredefort Dome Environmental Management Framework
- North West Province: Environmental Implementation Plan
- Environmental Management Framework Regulations.
- Regulations to phase out the use of polychlorinated Biphenyls (PCBs) materials and PCB contaminated materials.
- Adoption of the Environmental Management Framework for the Garden Route Area in the Eden District Municipality, Western Cape Province.
- Regulations regarding the procedure to be followed when oral requests are made in terms of section 30A of the National Environmental Management Act, 1998.

These Regulations and Notices, as well as the other Acts promulgated as part of National Environment Management in South Africa, underscores the value that the State (all three spheres) accords to the implementation of sustainability practices. This provides further impetus to the development of sustainable livelihoods, particularly in the rural and predominantly rural areas of South Africa.

7.2.10 Water Services Act (WSA) (Act 108 of 1997) and National Water Act (NWA) (Act 36 of 1998)

South Africa has had major reformation in its water allocations since 1994 and is one of the few countries internationally where the right to sufficient water is constitutionally entrenched (UN, 2014: 245). It has culminated in the Water Services Act (WSA) of 1997 and the National Water Act (NWA) of 1998, which govern South Africa's waters. Underpinning these Acts is a focus on the decentralized management and redistribution of formal water-use rights, which must be charged. The Acts are complementary and provide a framework for sustainable water resource management while enabling improved and broadened service delivery. It contains comprehensive provisions for the protection, use, development, conservation, management and control of South African water resources. The NWA is founded on the principle that all water forms part of a unitary, interdependent water cycle, and should thus be governed under consistent rules. These acts promote the integrated management of all aspects of water resources and the delegation of management functions to a regional or catchment level, where

appropriate, to enable everyone to participate. Hydrological catchment borders are used as the basic unit of management; 19 water management areas (WMAs) are delineated in South Africa, with each WMA intended to become the responsibility of a Catchment Management Agency (CMA). The NWA also provides for Water User Associations (WUAs) to be set up within particular WMAs in terms of Sections 91 to 98. These WUAs operate at a restricted localised level, and are in effect co-operative associations of individual water users who wish to undertake water-related activities for their mutual benefit. Unlike catchment management agencies, the primary purpose of the water use associations is not water management. The association may exercise management power and duties only if these have been assigned or delegated. The Minister may exercise control over water user associations by giving directives or by temporarily taking over their functions under particular circumstances. Existing irrigation boards, subterranean water control boards and water boards established for stock watering purposes will continue to operate until they are restructured as water user associations. A proposal for the establishment of a water use association must contain at least:

- the reason for making the proposal
- a proposed name and area of operation for the association;
- the proposed activities of the association;
- a description of any existing or proposed waterwork within the proposed area of operation which is relevant to the proposed activities of the association;
- a description of the water use licences and any other authorisations which the proposed members hold or intend applying for;
- the proposed constitution and a list of members of the association; and
- an indication of whether there has been consultation in developing the proposal and the results of the consultation.

7.2.11 Marine Living Resources Act (Act 18 of 1998)

As with the Waste Act, the Marine Living Resources Act takes sustainable livelihood development very seriously. In its title, the stated purpose of the Act is providing for the conservation of the marine ecosystem, the long-term sustainable utilisation of marine living resources and the orderly access to exploitation, utilisation and protection of certain marine living resources; and for these purposes providing for the exercise of control over marine living resources in a fair and equitable manner to the benefit of all the citizens of South Africa; and to

provide for matters connected therewith. Moreover, it pertinently states the manner in which this sustainability is to be strived for, with the following objectives and principles:

- Achieving optimum utilisation and ecologically sustainable development of marine living resources;
- Conserving marine living resources for both present and future generations;
- Applying precautionary approaches in respect of the management and development of marine living resources;
- Utilising marine living resources to achieve economic growth, human resource development, capacity building within fisheries and mariculture branches, employment creation and a sound ecological balance consistent with the development objectives of the national government;
- Protecting the ecosystem as a whole, including species which are not targeted for exploitation;
- Preserving marine biodiversity;
- Minimising marine pollution;
- Achieving to the extent practicable a broad and accountable participation in the decision-making processes provided for in this Act;
- Adhering to any relevant obligation of the national government or the Republic in terms of any international agreement or applicable rule of international law; and
- Restructuring the fishing industry to address historical imbalances and to achieve equity within all branches of the fishing industry.

In aid of achieving these objectives and principles, the following Regulations and Notices have been issued:

- MLRA Regulations.
- Notice of Declaration of Marine Protected Areas.
- Regulations for the management of the Stilbaai Marine Protected Area.
- Regulations for the management of the Amathole Marine Protected Area.

- Regulations for the management of the Prince Edward Island Marine Protected Area.
- Regulations for the management of wild abalone.
- Regulations for the management of boat based whale watching and the protection of turtles.
- Regulations for the management of white shark cage diving.
- Regulations of a prohibition on fishing at night in the estuary of the Breede River.
- Regulations for the fishing for sharks in the estuary of the Breede River.
- Transfer of administration and powers and functions entrusted by legislation to certain cabinet members in terms of section 97 of the Constitution.
- Recognition of the Kalk Bay Historical Fishers as an interest group in terms of section 8 of the Act (27 February 2015).

7.2.12 Local Government Municipal Structures Act (Act 117 of 1998)

The purpose of the Municipal Structures Act is to provide for the establishment of municipalities in accordance with the requirements relating to categories and types of municipality; to establish criteria for determining the category of municipality to be established in an area; to define the types of municipality that may be established within each category; to provide for an appropriate division of functions and powers between categories of municipality; to regulate the internal systems, structures and office-bearers of municipalities; to provide for appropriate electoral systems; and to provide for matters in connection therewith. Its particular relevance to sustainable livelihood development lies in the provisions it makes for local government to compile an Integrated Development Plan (IDP), according to which all planning and development within a municipality's borders must take place.

The Act is predicated on the following principles:

- The Constitution establishes local government as a distinctive sphere of government, interdependent, and interrelated with national and provincial spheres of government;
- Local government is of fundamental importance to democracy, development and nation-building in our country;
- There is massive poverty, gross inequalities in municipal services, and disrupted spatial, social and economic environments in which our people continue to live and work:

- Local government is envisioned to be democratic and developmental, where municipalities fulfil their constitutional obligations to ensure sustainable, effective and efficient municipal services, promote social and economic development, encourage a safe and healthy environment by working with communities in creating environments and human settlements in which all our people can lead uplifted and dignified lives: and
- The act serves as the final phase in democratizing local government and transforming it into a developmental sphere of government.

The legislative context of the Integrated Development Plan (IDP) for local government *per se*, originates with the Local Government Transition Act 209 of 1993, read with the Development Facilitation Act 67 of 1995 (South African Local Government Association (SALGA), 2001:A-1). This plan was intended as an instrument to assist local authorities in transforming and in fulfilling the objectives of the nationally sponsored Reconstruction and Development Programme (Harrison, 2001:176). With the implementation of a new municipal system by the end of 2000, the first five-year round of IDPs took place. This was in terms of Section 1(a) of Article 84 of the Municipal Structures Act (Act 117 of 1998), which identified integrated development planning as one of the core functions of municipalities (both local and district municipalities). Chapter 5 specifically deals with integrated development planning, specifying that municipal planning is to be developmentally orientated and part of co-operative government, stipulating the core components of IDPs and prescribing the process for planning, drafting, adopting and reviewing IDPs throughout the process, providing guidelines. It also states that a municipality's IDP "is the principal strategic planning instrument which guides and informs all planning and development and all decisions with regard to planning management and development in the municipality" and "binds the municipality in the exercise of its executive authority, except to the extent of any inconsistency between a municipality's integrated development plan and national or provincial legislation, in which case such legislation prevails" (RSA, 1998). It also requires a municipality to act in a manner which is consistent with its Integrated Development Plan.

7.2.13 National Heritage Resources Act (SAHRA) (Act 25 of 1999)

The long title of the Act states its objectives as introducing an integrated and interactive system for the management of the national heritage resources; promoting good government at all levels, and empowering civil society to nurture and conserve their heritage resources so that they may be bequeathed to future generations; laying down general principles for governing heritage resources management throughout the Republic; introducing an integrated system for the identification, assessment and management of the heritage resources of South Africa; establishing the South African Heritage Resources Agency together with its Council to

coordinate and promote the management of heritage resources at national level; setting norms and maintain essential national standards for the management of heritage resources in the Republic and protecting heritage resources of national significance; controlling the export of nationally significant heritage objects and the import into the Republic of cultural property illegally exported from foreign countries; enabling the provinces to establish heritage authorities which must adopt powers to protect and manage certain categories of heritage resources; providing for the protection and management of conservation-worthy places and areas by local authorities; and providing for matters connected therewith.

Of particular emphasis in SAHRA, is its purpose to enable and encourage communities to nurture and conserve their heritage, helping to define cultural identity. This strengthens sustainable livelihood development, in that it supports the contextual determining of sustainability, specifically on a social level. Some of the Regulations and Notices issued under this Act and of significance for sustainable livelihood development are the following:

- SAHRA Regulations (2000).
- Policy framework for the protection, conservation, management and promotion of heritage objects.
- Types of heritage object requiring export permits.
- Guidelines for Site Management Plans.
- SAHRA Nomination forms.
- SAHRIS Memorandum of Agreement (MoA) with Partnering Institutions.
- Heritage Agreement for handling Grade 1 areas between SAHRA and HWC 2012.
- SAHRIS Policy (January 2013)
- SAHRA Minimum Standards for Heritage Impact Assessments 2007.
- Conservation Principles.

7.2.14 Municipal Systems Act (MSA) (Act 32 of 2000)

The Municipal Systems Act (Act 32 of 2000) expands on the Municipal Structures Act (Act 117 of 1998) by detailing the goals, principles, mechanisms and processes of local government in order to achieve its developmental mandate. In support of this mandate, the Act details its objectives as follows:

- Enjoining local government to be fundamentally developmental in orientation, prioritising the provision in basic needs and providing services to all people
- Stipulating the core principles, mechanisms and processes that give meaning to developmental local government and aims to empower municipalities to move progressively towards the social and economic upliftment of communities and the provision of basic services to all people, and specifically the poor and the disadvantaged;
- Specifying that a fundamental aspect of the new local government system is the active engagement of communities in the affairs of municipalities of which they are an integral part, and in particular in planning, service delivery and performance management;
- Requiring an efficient, effective and transparent local public administration that conforms to constitutional principles from the new local government system;
- Ensuring financially and economically viable municipalities;
- Creating a more harmonious relationship between municipal councils, municipal administrations and the local communities through the acknowledgement of reciprocal rights and duties;
- Developing a strong system of local government capable of exercising the functions and powers assigned to it; and
- Forming an integral part of a suite of legislation that gives effect to the new system of local government.

The long title of the Act describes the purpose of the Act as being “To provide for the core principles, mechanisms and processes that are necessary to enable municipalities to move progressively towards the social and economic upliftment of local communities, and ensure universal access to essential services that are affordable to all; to define the legal nature of a municipality as including the local community within the municipal area, working in partnership with the municipality’s political and administrative structures; to provide for the manner in which municipal powers and functions are exercised and performed; to provide for community participation; to establish a simple and enabling framework for the core processes of planning, performance management, resource mobilisation and organisational change which underpin the notion of developmental local government; to provide a framework for local public administration and human resource development; to empower the poor and ensure that municipalities put in place service tariffs and credit control policies that take their needs into account by providing a framework for the provision of services, service delivery agreements and municipal service

districts; to provide for credit control and debt collection; to establish a framework for support, monitoring and standard setting by other spheres of government in order to progressively build local government into an efficient, frontline development agency capable of integrating the activities of all spheres of government for the overall social and economic upliftment of communities in harmony with their local natural environment; to provide for legal matters pertaining to local government; and to provide for matters incidental thereto". Furthermore, regulations regarding municipal planning and performance management, which deals specifically with the compilation and implementation of the Integrated Development Plan of the municipality, are issued under this Act.

The provisions of this Act fundamentally support sustainable livelihood development, as set out in this study. It advocates the overall social and economic strengthening of communities (explicitly stating the empowerment of the poor) in concert with the local natural environment as well as the provision of access to essential services that are affordable to all. However, the structure and context of the local government system in rural areas have proven to be daunting obstacles against the provision of developmental local government. This is partly an outcome of the reality that many rural municipalities are ill-equipped to play a meaningful role in creating sustainable livelihoods and reducing poverty (Pycroft, 2002:112).

7.2.15 Disaster Management Act (Act 57 of 2002)

The Disaster Management Act is the result of the concerted efforts from government and a wide range of stakeholders to tackle disaster risk management reform. The Act is based on the seven key proposals in White Paper on Disaster Management, which focused on:

- Mainstreaming of disaster risk reduction into development;
- A strategy for vulnerability reduction;
- Establishing a National Disaster Management Centre (NDMC);
- Introducing a new funding system for disaster risk management;
- A framework that would enable community awareness and participation in disaster risk reduction;
- A framework for training and community awareness; and
- The drafting of legislation in the form of an Act of Parliament, which would give effect to the government's policy on disaster risk management in South Africa.

One of the most significant contributions that this Act makes is that it gives effect to the concept of mainstreaming disaster risk reduction into development through legislation. It places statutory responsibilities for disaster risk reduction on every organ of state in each of the three spheres of government and gives a mandate for the establishment of disaster risk management centres in all the spheres. In addition, the Act requires co-operation and collaboration on the part of all spheres of government, civil society and the private sector in disaster risk reduction. The national disaster management framework also informs the subsequent development of disaster management frameworks and plans for municipalities, which should be included in their Integrated Development Plans and are required to guide action in all spheres of government.

To assist the different government spheres in this effort, the Act prescribes a national disaster management framework to provide a coherent, transparent and inclusive policy on disaster risk management for South Africa as a whole. For the rural and predominantly rural areas of South Africa, the priority that the national disaster management framework gives to developmental measures that reduce the vulnerability of disaster-prone areas, communities and households is of particular significance. In addition to natural and human-induced threats, and despite ongoing progress to provide essential services to deprived urban and rural communities, large numbers of people live in conditions of chronic disaster vulnerability. They are subject to pervasive threats, both natural and otherwise, that vary from drought to repeated informal settlement fires.

A particular significant contribution that the national disaster management framework makes towards sustainable (rural) livelihood development is the explicit emphasis it places on disaster risk reduction concepts, such as disaster prevention and mitigation. This supports resilience, an inherent constituent of sustainable livelihoods, which refers to the ability to cope with and recover from shocks (environmental and otherwise).

7.2.16 Traditional Leadership and Governance Framework Act (TLGFA) (Act 41 of 2003)

Pursuant to Chapter 12 of the Constitution, the Department of Co-operative Governance and Traditional Affairs (CoGTA), (previously the DPLG) has been involved in a process of creating and enacting legislation and policies aimed at transforming the institution of traditional leadership since 1998 (George, 2010:3). As a result, the Traditional Leadership and Governance Framework Act, 2003 (Act 41 of 2003) was created to provide for the powers of the traditional leadership in the development and governance of traditional communities, subject to constitutional imperatives. The Preamble to the Act states that it seeks “to set out a national framework and norms and standards that will define the place and role of traditional leadership within the new system of democratic governance; to transform the institution in line with constitutional imperatives; and to restore the integrity and legitimacy of the institution of

traditional leadership in line with customary law and practices”, and it recognises that “the South African indigenous people consists of a diversity of cultural communities” that includes “the institution, status and role of traditional leadership according to customary law and a traditional authority that observes a system of customary law”. Therefore, “the State must respect, protect and promote the institution of traditional leadership in accordance with the dictates of democracy in South Africa; the State recognises the need to provide appropriate support and capacity building to the institution of traditional leadership; the institution of traditional leadership must be transformed to be in harmony with the Constitution and the Bill of Rights so that democratic governance, the values of an open and democratic society and gender equality within the institution of traditional leadership may be promoted and progressively be advanced”; and the institution of traditional leadership must “promote freedom, human dignity and the achievement of equality; derive its mandate and primary authority from applicable customary law; promote nation building and harmony and peace amongst people; - promote the principles of co-operative governance in its interaction with all spheres of government and organs of state; and promote an efficient, effective and fair dispute-resolution system, and a fair system of administration of justice, as envisaged in applicable legislation”.

The Act provides for a community to be recognised as a traditional community, if it is subject to a system of traditional leadership in terms of that community’s customs, and if it observes a system of customary law. To abide by the principles of the Constitution, the TLGF has transformed the composition of traditional councils to provide for elements of democracy (40% of members must be elected) and gender representativeness (one-third of the members must be women). It also makes provision for municipalities and traditional councils to achieve cooperative governance. In addition, traditional councils have been given a strong voice in development matters and may now enter into partnerships and service-delivery agreements with government in all spheres. Since the implementation of the TLGF some flaws have been identified, such as the thirty-member limit on traditional councils, the jurisdiction of traditional leadership over a community, and the extension of time to allow more time for transforming traditional authorities in line with the Act. These and other matters have been addressed by the Traditional Leadership and Governance Framework Amendment Act, 2009 (Act 23 of 2009).

7.2.17 National Environment Management: Biodiversity Act (Act 10 of 2004)

The objectives of this Act are to provide for the management and conservation of biological diversity within the Republic and of the components of such biological diversity; the use of indigenous biological resources in a sustainable manner; and the fair and equitable sharing among stakeholders of benefits arising from bioprospecting involving indigenous biological resources. This Act supports the principle of diversity which is integral to the sustainability of

any system, including sustainable livelihood development. Supporting its objectives, the following Regulations and Notices are issued under this Act:

- National Biodiversity Framework.
- Regulations pertaining to threatened or protected species.
- Regulations pertaining to ecosystems that are threatened and in need of protection.
- Regulations pertaining to bio prospecting, access and benefit sharing.
- Regulations pertaining to alien and invasive species.
- Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) regulations.
- Biodiversity Management Plans.
- Nelson Mandela Bay Municipality Bioregional Plan.
- Norms and Standards.
- Prohibition of trade in Certain Encephalartos (Cycad) Species.
- Moratorium on the Trade of Individual Rhinoceros Horns and Any Derivatives or Products of the Horns.
- Guideline Regarding the Determination of Bioregions and the Preparation of and Publication of Bioregional Plans.
- Marking Rhinoceros Horn and Hunting of White Rhinoceros for Trophy Hunting Purposes.
- Notice regarding trade in white and black rhinoceros specimens.

7.2.18 National Environment Management: Air Quality Act (Act 39 of 2004)

The Act states that its purpose is to protect the environment by providing reasonable measures for the protection and enhancement of the quality of air in the Republic; the prevention of air pollution and ecological degradation; and securing ecologically sustainable development while promoting justifiable economic and social development. In general it aims to give effect to section 24(b) of the Constitution in order to enhance the quality of ambient air for the sake of securing an environment that is not harmful to the health and well-being of people. In addition, it directs the local, provincial and national spheres of government to seek to protect and

enhance the quality of air in the Republic and applying the Act in a manner that will achieve the progressive realisation of the rights contained in section 24 of the Constitution. In addition, the following regulations and other documents have been issued in terms of this Act, which contributes to the attainment of sustainable livelihoods:

- List of activities which result in atmospheric emissions which have or may have a significant detrimental effect on the environment, including health, social conditions, economic conditions, ecological conditions or cultural heritage.
- National Ambient Air Quality Standards as contemplated in Section 9(1) of Air Quality Act.
- National Ambient Air Quality Standards as contemplated in Section 9(1) of AQA (PM2.5).
- Declaration of the Vaal Triangle Air-shed Priority Area.
- Declaration of the Highveld Priority Area.
- Declaration of the Waterberg Priority Area.
- Regulations for implementing and enforcing the Vaal Triangle Air-shed Priority Area Air Quality Management Plan.
- 2012 Framework for Air Quality Management.
- Regulations prescribing the format of the Atmospheric Impact Report.
- Dust Control Regulations.
- Declaration of temporary asphalt plants as a controlled emitter and establishment of emission standards.
- Declaration of a small boiler as a controlled emitter and establishment of emission standards.
- Regulations regarding the phasing-out and management of ozone-depleting substances.
- Regulations regarding air dispersion modelling.
- National Atmospheric Emission Reporting Regulations.

7.2.19 National Environment Management: Integrated Coastal Management Act (Act 24 of 2008)

The coastal zone of South Africa (as determined by this Act) is administered through the Integrated Coastal Management Act. It provides for the coordinated and integrated management of the coastal zone by all spheres of government in accordance with the principles of co-operative governance (within the framework of NEMA). In addition, it strives to preserve, protect, extend and enhance the status of coastal public property as being held in trust by the State on behalf of all South Africans, including future generations; as well as secure equitable access to the opportunities and benefits of coastal public property. It also has to give effect to the Republic's obligations in terms of international law-regarding coastal management and the marine environment. As with the other "specific environmental management Act" as defined in section 1 of the National Environmental Management Act, it also fundamentally advocates the development of sustainable livelihoods, including the establishment of the following Regulations, Notices and other policies:

- National Estuarine Management Protocol (2013).
- Eastern Cape Coastal Management Programme (2014).
- National Coastal Management Programme (2014).
- Control of the use of vehicles in the coastal zone.
- Management of public launch sites in the coastal zone.

7.2.20 National Environment Management: Waste Act (Act 59 of 2008)

The Waste Act, as part of National Environmental Management, particularly pursues the goal of sustainable development. In stating the objectives of the Act, it provides a comprehensive list of sustainable practices relating to waste management, including following:

- Protecting health, well-being and the environment by providing reasonable measures for
 - (iv) minimising the consumption of natural resources;
 - (v) avoiding and minimising the generation of waste;
 - (vi) reducing, re-using, recycling and recovering waste;
 - (vii) treating and safely disposing of waste as a last resort;

- (viii) preventing pollution and ecological degradation;
 - (ix) securing ecologically sustainable development while promoting justifiable economic and social development;
 - (x) promoting and ensuring the effective delivery of waste services;
 - (xi) remediating land where contamination presents, or may present, a significant risk of harm to health or the environment; and
 - (xii) achieving integrated waste management reporting and planning;
- Ensuring that people are aware of the impact of waste on their health, well-being and the environment;
 - Providing for compliance with the measures set out in the first bullet point; and
 - Generally, to give effect to section 24 of the Constitution in order to secure an environment that is not harmful to health and well-being.

As with the other National Environmental Management Acts, it binds all organs of State to fulfil the rights contained in section 24 of the Constitution, by putting in place uniform measures that seek to reduce the amount of waste that is generated and, where waste is generated, to ensure that waste is re-used, recycled and recovered in an environmentally sound manner before being safely treated and disposed of. This includes the promulgation of the following Regulations and Notices in terms of this Act:

- List of waste management activities that have, or are likely to have a detrimental effect on the environment.
- The National Policy on Thermal Treatment of General and Hazardous Waste.
- The National Domestic Waste Collection Services.
- The National Policy for the Provision of Basic Refuse Removal Services for Indigent Households.
- National Waste Management Strategy, adopted in November 2011.
- Framework for the Management of Contaminated Land, May 2010.
- Municipal Waste Sector Plan.

- National Waste Information Regulations.
- REDISA Waste Tyre Management Plan.
- National Norms and Standards for the Assessment of Waste for Landfill Disposal.
- National Norms and Standards for the Disposal of Waste to Landfill.
- Waste Classification and Management Regulations.
- National standards for the scrapping or recovery of motor vehicles.
- National standards for the extraction, flaring or recovery of landfill gas.
- National norms and standards for the storage of waste.
- National Policy on Thermal Treatment of General and Hazardous Waste
- Norms and standards for the remediation of contaminated land and soil quality.

7.2.21 Spatial Planning and Land Use Management Act (SPLUMA) (Act 16 of 2013) and Regulations (2015)

The Spatial Planning & Land Use Management Act (SPLUMA) (Act 16 of 2013) was designed to align land use planning with specific provisions of the Constitution, confirming the consignment of municipal or “town” planning to the sphere of local government only. This is in part a response to the 17 June 2012 deadline imposed by the Constitutional Court judgment in the Development Facilitation Act (DFA) case. On the 18th June 2010 the Constitutional Court in the case City of Johannesburg Metropolitan Municipality vs. Gauteng Development Tribunal and others declared chapters V and VI of the Development Facilitation Act No 67 of 1995 to be constitutionally invalid. The scope of the Constitutional Court Order included: (a) the constitutional invalidity of chapters V and VI of the DFA, which was suspended for 24months; (b) the requirement that Parliament must within 24months from 18 June 2010 remedy the defects in the DFA or enact a new legislation to address the same; (c) that with effect from the 18 June 2010 no Development Tribunal must exclude any legislation from applying to land forming the subject matter of an application to it; (d) that with effect from the 18 June 2010 Development Tribunals must take into consideration in all applications before them the Spatial Development Frameworks (SDFs) and plans of the municipality where the land is situated; and (e) that no new application was to be received with effect from the 18 June 2010 in respect of any land within the areas of the City of Johannesburg Metropolitan Municipality or eThekweni Metropolitan Municipality (South Africa. Department of Rural Development and Land Reform, 2014b:2).

The Act, coming to effect on 1 July 2015, established a framework for a planning system for the country by expounding development principles, policies and legislation that inform spatial development planning and frameworks. It confirmed the development principles of spatial justice, sustainability, efficiency and spatial resilience. The specific tools identified to facilitate an integrated planning system were municipal, provincial and national spatial development frameworks that should work in concert with one another; municipal land-use schemes; municipal planning tribunals and appeal authorities. In addition, existing legislation may not conflict with SPLUMA (i.e. old Ordinances, newer Provincial Acts). Thus far, the only province to have established planning and land use management by-laws in term of this Act was Limpopo Province, with the promulgation of the Limpopo Spatial Planning and Land Use Management By-laws (South Africa, 2015). It should be noted, however, that smaller rural municipalities may not be able to enact this legislation proficiently and would probably need assistance in this matter.

The DRDLR (2014b:8) states that the primary changes in spatial planning and land use management in terms of SPLUMA can be summarised as follows:

Table 7-2: Changes in spatial planning and land use planning in terms of SPLUMA

- Reiteration of the sole mandate of municipalities where municipal planning (land development, land use management) is concerned, placing municipalities as authorities of first instance invalidating inconsistent parallel mechanisms, parallel systems, measures or institution that existed dealing with land development application;
- Establishment and composition of Municipal Planning Tribunals and Appeals structures by municipalities to determine and decide on land development applications. Also providing municipalities with options for Tribunals and appeals structures to be created based on capacity;
- Development of a single and inclusive land use scheme for the entire municipality with special emphasis on municipal differentiated approach including areas under traditional leadership;
- Development of respective SDFs by all three spheres of government, norms and standards guided by development principles;
- Development of Regional Spatial Development Framework as may be required;
- Strengthened intergovernmental support through enforcement, compliance and monitoring processes; and
- Alignment of authorisations processes where necessary on policies and legislation impacting land development applications and decision making processes.

Source: DRDLR (2014:8).

In terms of Section 20, a municipality must adopt and approve a Spatial Development Framework (SDF), after consultation with the relevant stakeholders. The development and use of Spatial Development Framework was first validated by Section 26 (e) of the Municipal Systems Act, 2000 and had to be prepared as part of the municipal IDP. However, SPLUMA states in Section 20(1) The Municipal Council must by notice in the Provincial Gazette adopt a municipal SDF for a municipality, giving it more authority. Moreover, it is no longer limited to IDP related projects and programmes, but aims to integrate and coordinate development proposals and related strategies of all projects and programmes of sector plans within various spheres of government and adjacent municipalities. The SDF, however, may not legally confer, change or amend any developmental right to any property but can direct the manners in which development is to take place as guided by the developmental vision of a municipality. The SDF should at least contain an overview of development or spatial direction for municipality i.e. urban edge; Spatial Development Initiatives; development programme for housing (housing projects) and social facilities; and service delivery plan (housing, infrastructure, basic education, water and electricity provision).

Section 24 of SPLUMA obliges municipalities to adopt and approve a single land use scheme for the entire municipality, after consultation with the relevant stakeholders. To assist in this process, the DRDLR have begun drafting regulations in support of Land Use Management Systems. In this draft document, the DRDLR (2014b:1) states that every municipality in South Africa requires a Land Use Management System (LUMS), which is a municipal based system that synchronises activities associated with spatial planning, land uses, development and management. This is in accordance with SPLUMA, which defines LUMS as a system of regulating and managing land use and conferring land use rights through the use of Land Use Schemes (LUSs) and development procedures. The purpose of LUMS is to promote and provide for administrative, technical processes and procedures relating to land development, land use management as per the objectives and provisions stipulated in both the IDP and the SDF of a municipality.

The components of such a Land Use Management System is set out in Figure 7-3:

Land Use Management System (LUMS)

LUMS components

- Integrated Development Plan
- Spatial Development Framework
- Land Use Scheme
- Municipal Planning Tribunal
- Legal Services
- Development charges (bulk contributions)
- Building control and land enforcement
- Property valuation
- Cadastral data and GIS
- Budgeting

Complimentary components of LUMS

- Environmental Management Plan
- Agricultural Management Plan
- Heritage Management Plan
- Transport Strategic Framework
- Human Settlement Development Plan
- Mining Development and Management Plan
- Rural Development Plan
- Economic Development Plan
- Infrastructure Development and Management Plan
- Urban Management Plan
- Service Delivery Budget and Implementation Plan
- Capital Investment Management System

Information Management System

Figure 7-3: Components of a municipal Land Use Management System (LUMS)

Source: DRDLR (2014b:18).

As is evident, the components of a LUMS such as the municipal IDP, SDF, LUS and strategic plans, are interdependent of each other and should not be implemented in isolation from each other. The definitions in Table 7-3 pertain specifically to the components of LUMSs:

Table 7-3: Definitions of some components of LUMS

COMPONENT	DEFINITION
Integrated Development Plan (IDP)	IDP is a plan that integrates infrastructure assets for budgeting and for provision purposes and its implementation requires spatial order, ensuring that infrastructure provision take place within development principles promoting spatial justice, resilience, equity, efficiency and sustainability. This is provided by the municipal Strategic Development Framework.
Spatial Development Framework (SDF)	An SDF is a long term (10-20 year plan) development framework with vision, goals and objectives expressed spatially through strategies designed to address physical, social and economic defects at municipal scale. It is not limited to IDP related projects and programmes, but aims to integrate and coordinate development proposals and related strategies of all projects and programmes of sector plans within various spheres of government and adjacent municipalities.
Development charges	Once a development application is approved, a certain fee is charged as a contribution for developing, using and benefiting from municipal provided infrastructure.
Building control and land enforcement	Building control and land enforcement works within the provision of a land use scheme and National Building and Regulation Standards Act (Act 103 of 1977).
Property valuation	Legal manner in which properties are evaluated for billing/ levying purposes and with which municipalities may generate revenue.
Cadastral data and GIS	Includes extent in which the municipal boundary stretches and all associated properties within municipal area of administration. Cadastral data help municipalities understand who owns what and where. It provides the exact property sizes, description of land parcels and location thereof. Cadastral data assists a municipality to value all properties for tax purposes. Geographical Information System (GIS) is a system used to capture, record, analyse, synchronise and dissemble data.
Budget	Financial plan which is essential for service delivery and to ensure the municipality operates successfully.
Land Use Scheme	Previously referred to as a town planning scheme. It is a statutory document which divides a municipality into zones which is used to indicate the desirable future development of an area. It is a legal instrument that grants developmental right on each registered land parcel or an erf, realising the municipal SDF by granting development controls associated with the SDF initiatives.
Sector Plan	Plan that includes development proposals and related strategies of all projects and programmes of a specific sector i.e. Transport Strategic Framework, Urban Development Plan, Rural Development Plan, etc.

Source: DRDLR (2014).

Emphasising the integrative and interdependent function of the components of LUMSs, the DRDLR (2014b:93-95) states that provincial and national government departments should participate and contribute to municipal SDFs and LUSs. Specifically, the role of the Department of Cooperative Governance and Traditional Affairs (COGTA) in promoting and supporting local government in the implementation of their LUMS, is accentuated. The two types of processes which requires the involvement of national and provincial government are the strategic development planning process (including the provision of infrastructure services); and land development approval through land use schemes and other related laws (requiring comments).

Of particular concern in this discussion, is the LUMS component of a Rural Development Plan. The DRDLR (2014b:99) states that the Department of Rural Development and Land Reform needs to provide municipalities with a comprehensive plan which sets out land availability in rural areas, tenure form and reform, economic, social and environmental features, issues and development potential and development pressures. This plan should be guiding, strategic and coherent so as to inform municipal and provincial Rural Development Plans.

Municipal Rural Development Plans must indicate and categorise areas in greatest need for development, as well as a development and management strategy that prioritise these areas for infrastructure provision and support. In addition, while the processes of restitution and redistribution take place at national level, this information should be incorporated as far as possible into the relevant municipal sector plan. The Rural Development Plan must in turn be incorporated in the Strategic Development Framework, making provision for land uses such as agriculture, agrivillages, trading areas/ markets, mining, residential, grazing, cemeteries, sacred areas (for ritual and spiritual purposes) and areas of mixed uses (often core rural areas permits grazing, cemeteries to exist in one property).

Ultimately, municipal LUMS must be consistent with the vision of the country as envisaged in the National Development Plan (Department of Rural Development and Land Reform, 2014b: 98).

Section 35 read together with 36, 37, 38 and 40 of SPLUMA makes provision for Municipal Planning Tribunals, stating that it must consist of official(s) in the full-time employ and service of the municipality and persons appointed by the Municipal Council who are not municipal officials and have knowledge and experience of spatial planning, land use management and land development or the law related thereto. This tribunal is delegated to assess and adjudicate on land development applications referred to them by an authorised official. Furthermore, Section 22 (1) of SPLUMA states that a Municipal Planning Tribunal or any authority required or mandated to make a land development decision in term of SPLUMA or any other law relating to land development, may not make decision which is inconsistent with municipal SDF.

In March 2015, regulations had been promulgated in terms Section 54 of SPLUMA, making provision for the establishment of Municipal Planning Tribunals, for local and district municipal areas, as well as the establishment of Joint Municipal Planning Tribunals. Subsequently, District Planning Tribunals have been established for the Gert Sibande District Municipality and the John Taolo Gaetsewe Municipality, and Aganag Local Municipality has resolved to form part of a joint tribunal to be established by Capricorn District Municipality.

Another significant provision of SPLUMA is Section 23 (2), which requires the participation of traditional councils and leaders in spatial planning and land use management. COGTA identifies traditional councils as important institutions in the development of rural areas which are, primarily, administered by these councils (Department of Rural Development and Land Reform, 2014b: 97). SPLUMA further enhances the role of traditional councils in that land previously excluded from municipal planning should now form part of municipal SDF and land use schemes.

The regulations and provisions of the Act support the development and implementation of sustainable rural livelihoods, with the Act's focus on spatial justice, sustainability, efficiency and resiliency. However, these aspirations need to be supported by Spatial Development Frameworks that sufficiently provides for zones of this nature, as well as Municipal Planning Tribunals that support this manner of development. Specific stipulations in support of micro-development (as discussed in Chapter 6), are the following:

- Section 7(a)(iv) & (v): land use management systems must include all areas of a municipality and specifically include provisions that are flexible and appropriate for the management of disadvantaged areas, informal settlements and former homeland areas; and land development procedures must include provisions that accommodate access to secure tenure and the incremental upgrading of informal areas.
- Section 7(b)(v), (vi) and (vii): Spatial planning and land use management systems must consider all current and future costs to all parties for the provision of infrastructure and social services in land developments; promote land development in locations that are sustainable and limit urban sprawl; and result in communities that are viable.
- Section 7(d): Spatial resilience must be promoted, whereby flexibility in spatial plans, policies and land use management systems are accommodated to ensure sustainable livelihoods in communities most likely to suffer the impacts of economic and environmental shocks.
- Section 7(e)(v): Policies, legislation and procedures must be clearly set in order to inform and empower members of the public.

- Section 8(2)(b) & (f): The norms and standards must promote social inclusion, spatial equity, desirable settlement patterns, rural revitalisation, urban regeneration and sustainable development; and differentiate between geographic areas, types of land use and development needs.
- Section 12(1)(h), (k), (m), (n) and (o): National, provincial and municipal spatial development frameworks must be prepared and include previously disadvantaged areas, areas under traditional leadership, rural areas, informal settlements, slums and land holdings of state-owned enterprises and government agencies and address their inclusion and integration into the spatial, economic, social and environmental objectives of the relevant sphere; provide direction for strategic developments, infrastructure investment, promote efficient, sustainable and planned investments by all sectors and indicate priority areas for investment in land development; take cognisance of any environmental management instrument adopted by the relevant environmental management authority; give effect to national legislation and policies on mineral resources and sustainable utilisation and protection of agricultural resources; and consider and, where necessary, incorporate the outcomes of substantial public engagement, including direct participation in the process through public meetings, public exhibitions, public debates and discourses in the media and any other forum or mechanisms that promote such direct involvement.
- Section 12(5): A municipal spatial development framework must assist in integrating, coordinating, aligning and expressing development policies and plans emanating from the various sectors of the spheres of government as they apply within the municipal area.
- Section 12(6): Spatial development frameworks must outline specific arrangements for prioritising, mobilising, sequencing and implementing public and private infrastructural and land development investment in the priority spatial structuring areas identified in spatial development frameworks.
- Section 24(2)(c) and (g): Land use schemes must include provisions that permit the incremental introduction of land use management and regulation in areas under traditional leadership, rural areas, informal settlements, slums and areas not previously subject to a land use scheme; and give effect to municipal spatial development frameworks and integrated development plans.
- Section 24(3)(b): Land use schemes may include provisions relating to specific requirements regarding any special zones identified to address the development priorities of the municipality.

7.3 Summary

In the foregoing discussion, the legal and policy framework of South Africa has been examined to determine whether it supports the development of sustainable rural livelihoods. In this regard, certain inferences are drawn and discussed in the following section.

Specific rural planning and development strategies of government post-1994 have evolved from the Reconstruction and Development Programme (RDP, 1994) through to the Rural Development Policy Framework (RDPF, 2013), which is currently in effect. While the RDPF (2013) strives to align with the NDP 2030 (2012) and the MTSF, it is still firmly rooted in the principles of the RDP, with the emphasis on sustainable development and placing rural communities in the centre of their own development. The trajectory of the evolution of rural development strategies is illustrated in Figure 7-4:

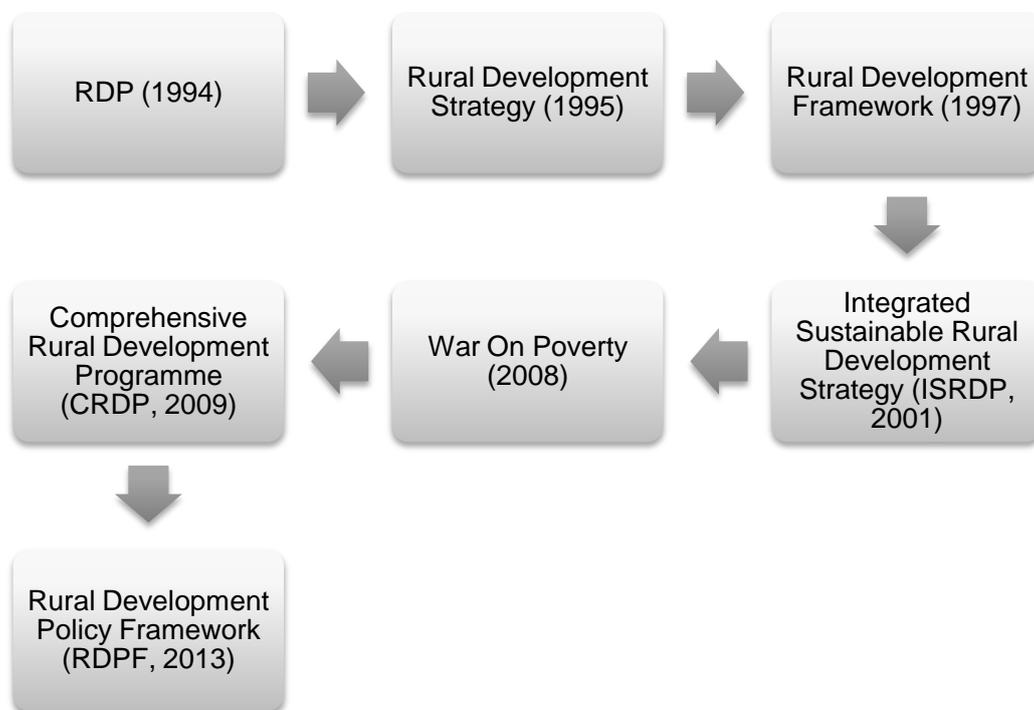


Figure 7-4: Trajectory of rural development strategies in South Africa post-1994

Source: Own construction (2015).

With respect to the implementation sphere responsible for the development of rural areas (and, by extension, sustainable rural livelihoods), the constitutional framework of powers and functions between different spheres of government assigns the responsibility of intra-municipal planning to local government and planning with extra-municipal impact to provincial government (Van Wyk, 2012:307). In practice, however, the complexity of rural space, overlapping and conflicting decision-making processes and ineffective coordination efforts, have hindered planning processes. Further complicating matters is the fact that the roles and responsibilities

assigned by the Constitution to the different spheres of government in some instances did not reflect the developmental nature of local government (South Africa. Department of Provincial and Local Government, 2007:16). The NDP (2012), for instance, indicates that spatial planning responsibilities in national government are scattered across several departments including Rural Development and Land Reform, Cooperative Governance and Traditional Affairs, Human Settlement, Transport, Environment Affairs and Trade and Industry. Other institutions involved in land use management in rural areas include traditional leaders, Ingonyama Trust Board, Communal Property Associations, municipalities, etc. Furthermore, municipalities in predominantly rural areas often operate with a minimal fiscal base due to their lack of access to areas outside their municipal planning processes (DRDLR, 2014b:6). More recent legislation such as the Municipal Structures Act (1998), Municipal Systems Act (2000), SPLUMA (2013), as well as the rulings of the Constitutional Court on municipal planning, however, have confirmed that the primary responsibility for the management and development of rural spatial systems is that of local government. This can be effected by local and district municipality through their SDF, IDP and municipal planning tribunals.

In support for sustainable rural livelihoods, the SDFs, IDPs and Municipal Planning Tribunals should specifically make provision for developments of this nature. SPLUMA has several stipulations supporting the sustainable development of especially the poorer and disadvantaged communities, including those in rural areas part of a municipality's jurisdiction. These stipulations can be provided for in Spatial Development Frameworks, enabling the development of village-level sustainable livelihoods.

The legal and policy framework discussed indicates that here are a number of interventions in which government and agencies are engaged in that support and promote sustainable rural livelihood development. Furthermore, although they differ in particulars, these policies and legislation have some general observations with respect to sustainable rural livelihood development, namely:

- "Rural areas" is a complex concept, with tremendous differentiation between economic, socio-politic and environmental aspects of different areas.
- However defined, the pervasiveness of extreme poverty is evident in most of South Africa's rural areas, with women the most affected group in this regard.
- There is a lack of coordination within and between planning agencies regarding development planning for rural areas.

- In addition, rural development is often an activity that takes place on behalf of a community (planning *for*) instead of being undertaken in concert with community members (planning *by*).
- There is an erroneous assumption that government structures and communities in rural areas are equipped to address the unique needs of rural areas.

Finally, although the legislative and policy framework supports sustainable rural livelihood development, there is also a recognition that the state alone cannot provide for it. Newer policies and legislation increasingly support the development of self-reliant communities, in particular where municipal governments are under severe pressure and have extremely limited resources.

In Table 7-4 a delineation of the different laws and policies discussed are provided in terms of the intervention categories listed by Bunce (1982:190-201).

Table 7-4: Delineation of laws and policies

		Law/Policy
Agricultural support and development	Support and extension legislation and policies	<ul style="list-style-type: none"> • Development Facilitation Act (DFA) (Act 67 of 1995) • Housing Act (Act 107 of 1997) • Marine Living Resources Act (Act 18 of 1998) • National Heritage Resources Act (SAHRA) (Act 25 of 1999) • Disaster Management Act (Act 57 of 2002) • Traditional Leadership and Governance Framework Act (TLGFA) (Act 41 of 2003) • National Environment Management: Biodiversity Act (Act 10 of 2004) • Air Quality Act (Act 39 of 2004) • Waste Act (Act 59 of 2008) • Integrated Coastal Management Act (Act 24 of 2008) • National Environmental Health Policy (2013)
	Development and modernisation	<ul style="list-style-type: none"> • Conservation of Agricultural Resources Act (CARA)(Act 43 of 1983) • Communal Property Associations Act (Act 28 of 1996) • National Climate Change Response White Paper (2011)
	Structural reform	<ul style="list-style-type: none"> • Upgrading of Land Tenure Rights Act (Act 112 of 1991) • Less Formal Township Establishment Act (Act 113 of 1991) • Reconstruction and Development Programme (1994-1996) • The Rural Development Strategy of the Government of National Unity (October 1995) • The Rural Development Framework (1997) • Water Services Act, (WSA, Act 108 of 1997) and National Water Act, (NWA, Act 36 of 1998) • Breaking New Ground: Comprehensive Plan for the Development of Sustainable Human Settlements (BNG) (2004) • Draft Integrated Urban Development Framework (2014)
Comprehensive rural development	Marginal area legislation and policies	<ul style="list-style-type: none"> • Environmental Conservation Act (Act 73 of 1989) • Environmental Management Act (NEMA) (Act 107 of 1998) • War on Poverty (2008) • National Policy on Food and Nutrition Security for the Republic of South Africa (2014)
	Rural area legislation and policies	<ul style="list-style-type: none"> • Integrated Sustainable Rural Development Programme (2001) • Rural Transport Strategy for South Africa (RTS) (2007) • Rural Development Policy Framework (RDPF, 2013) • The International Guidelines on Urban and Territorial planning (IG-UTP), UN-Habitat (2015)
	Reform of rural society	<ul style="list-style-type: none"> • Constitution (Act 108 of 1996) • White Paper on Local Government (1998) • Local Government Municipal Structures Act (Act 117 of 1998) • Municipal Systems Act (MSA) (Act 32 of 2000) • Comprehensive Rural Development Plan (CRDP) (2009) • National Development Plan (NDP) (2012) • Planning and Land Use Management Act (SPLUMA) (Act 16 of 2013)

Source: Own construction (2015).

In summary, the salient points of the discussion on the policy and legal framework in South Africa supporting sustainable rural livelihood development, are summarised in Figure 7-5

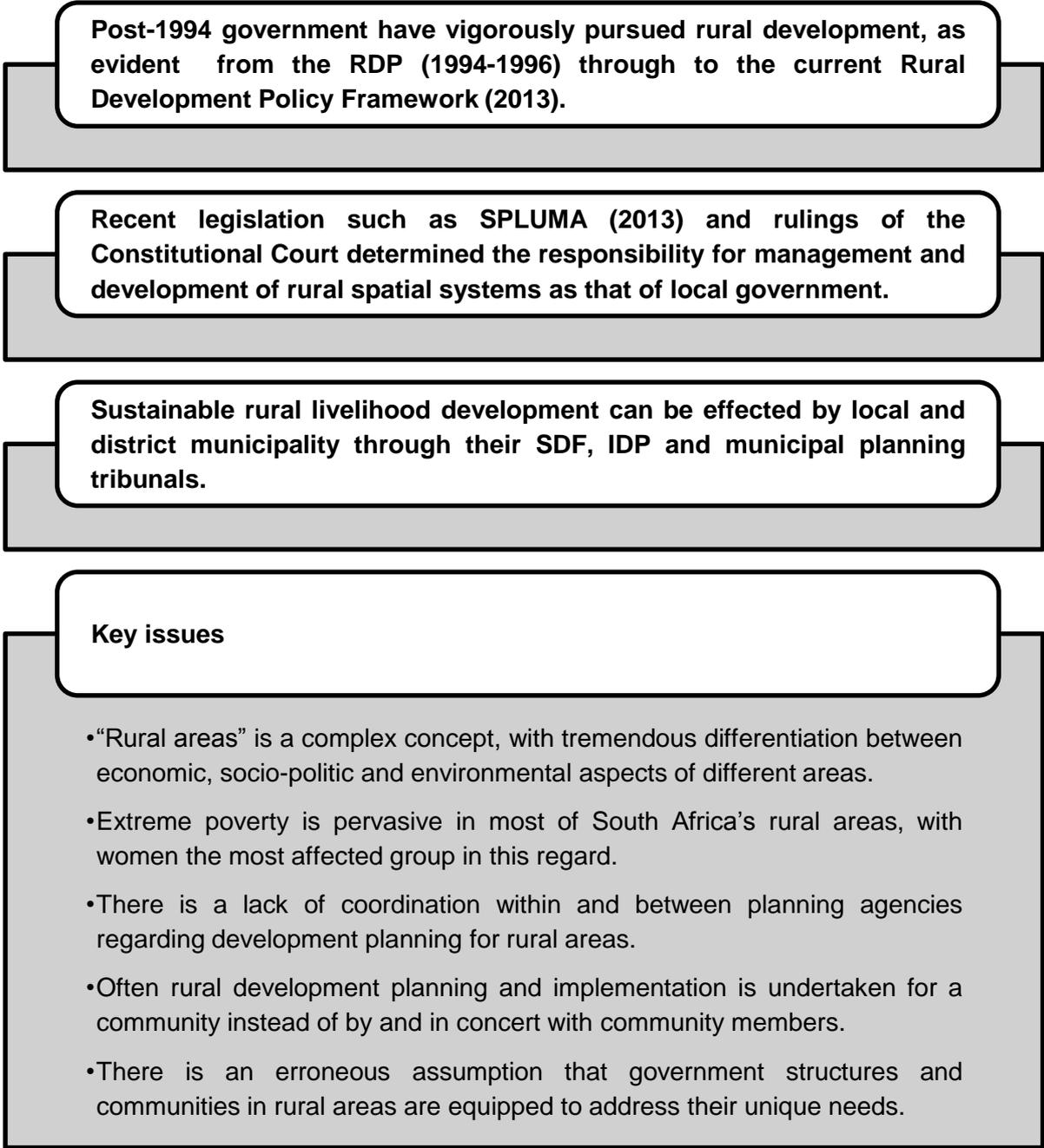


Figure 7-5: Summary of chapter

Source: Own construction (2015).

PART 3 EMPIRICAL EVALUATION

CAPTER 8 FOCUSED INTERVIEWS FACILITATED BY QUESTIONNAIRES

As stated in Chapter 1, the purpose of this study is to arrive at planning recommendations and proposals to consider for the establishment of sustainable rural livelihoods. In the literature review, the basic premises for the development of sustainable rural livelihoods were discussed. As using interviews as a research method can result in both the collection of data as well as the generation thereof (Byrne, 2012:207), semi-structured qualitative interviews were held with key informants to derive possible approaches for sustainable rural livelihood development in South Africa. In this process, the concepts derived from the literature study were assessed and evaluated in terms of the experience that the participants have had with sustainable rural development in South Africa. The process and the outcomes thereof are described in this chapter, according to the sections indicated in Figure 8-1:

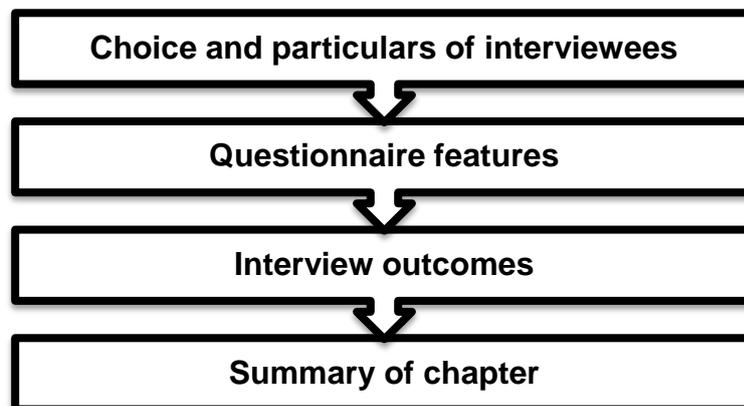


Figure 8-1: Chapter sections

8.1 Choice and particulars of interviewees

It has been stated that the difficulty with conceptual studies and qualitative interviews (as in this study), is the constraint on sample size. A reasonable sample size is often thought to be between 10 and 20 interviewees (Terre Blanche, et al., 2006:289) . In this study the researcher was able to conduct interviews with 18 informed individuals. The interviews took place at intervals over a three year period, and each interview lasted between one and five hours. After each interview, the outcomes were captured in electronic format.

The three primary sectors from which the interviewees were selected were those of academia, government and private/non-governmental organisations (NGOs). As can be seen from Figure 8-2, the number of interviewees is weighted in favour of non-governmental organisations, as their particular expertise in the development of rural and predominantly rural areas emerged

during the literature review (and was borne out in the interviews). Initially provision was also made for the inclusion of the traditional sector as an interview category, but in the course of the literature review and interviews with key informants in the other sectors, it became clear that its inclusion might not be advisable for a study of this nature. There were two reasons motivating this choice: first, as this is an exploratory study, discussion might lead to the creation of expectations with respect to the rendering of aid or support which might or might not realise; and secondly, meaningful interaction with traditional communities usually takes place only after spending prolonged periods of time engaging with the community, to allow occasion for open and honest discourse.

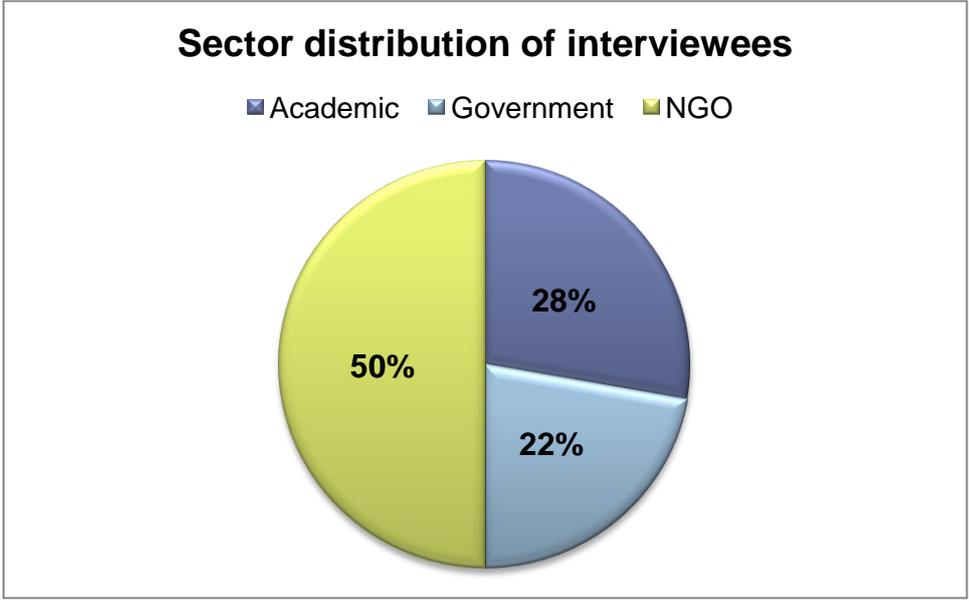


Figure 8-2: Sector distribution of interviewees

Source: Own construction (2015).

Interviewees for this study were identified based upon the sectors within which they work as well as their skills and experience in contributing to the research from an empirical viewpoint, good communicative skills, openness, and interest in participating. Those identified as potential participants were contacted by phone and e-mail to determine their willingness to participate. Subsequently, interviews were arranged with the key informants who agreed to participate, in a manner and place convenient to them. The semi-structured interviews were conducted and recorded (in written format) with the use of a questionnaire to guide the discussion.

In Table 8-1, a list of interviewees are provided, as well as an indication of their current position, field of expertise and the time period they have been involved in their vocation.

Table 8-1: List of interviewees

Name	Position	Field of expertise	Period
Prof Doreen Atkinson	Senior Researcher: Centre for Development Support, University of the Free State	Rural development (private/academic)	25 years
Ms Elizabeth Barratt	Africa Unit for Trans-disciplinary Health Research (AUPHeR), North-West University	Community support and development (academic/NGO)	5 years
Ms Aletta Bosman	Director: Tutela (RC Social Service Highveld Head Office)	Community support and development (NGO)	15 years
Mr Johan Carstens	Agricultural Economist, consultant to the Agricultural Research Council	Agricultural economist and rural development (government/NGO)	41 years
Dr Flippie Cloete	Agricultural Economist, North-West University	Rural agricultural development (academic)	5 years
Mr Robert Davel	Mpumalanga Agriculture: Assistant Manager	Agricultural and community development (private)	5 years
Mr Gerhard De Bruin	Manager Spatial Planning Northern Cape, Department of Rural Development and Land Affairs	Rural development and spatial management (government)	15 years
Prof Anèl Du Plessis	Professor, Faculty of Law, North-West University	Local government and environmental law (academic)	12 years
Prof Andre Duvenhage	Director: Research, North-West University	Governance and development support (academic)	15 years
Mr Len Fourie	Private Urban and Regional Planner, Northern Cape	Urban and rural planning (private)	17 years
Mr Clinton Heimann	Chief Director Economic and ICT Infrastructure, National Department of Rural Development and Land Affairs	Rural development and rural infrastructure (government)	17 years
Dr Dirk Hermann	Chief Executive Officer, Helpende Hand, Solidariteit	Community support and self-reliance development (private)	15 years
Ms Alida Jooste	Project Manager/Social Worker, Ligstad Alberton	Community support and development (NGO)	3 years
Mr Godfrey Nkosi	Director: Youth Development, National Department of Rural Development and Land Affairs	Rural development, specifically youth development (government)	3 years
Ms Hanlie Robertson	Project Manager: Centre for Governance / School of Social and Government Studies, NWU	Sustainable rural development and governance (academic/government/NGO)	7 years
Prof Gerrit Van Der Waldt	Research Professor: Public Governance Focus Area: Social Transformation, North-West University	Governance support and sustainable development (academic)	20 years
Prof Dewald Van Niekerk	Director African Centre for Disaster Studies, North-West Province	Disaster risk reduction and sustainable development (academic)	17 years
Mr Hugh Zackey	District manager, Bojanala District Services Centre, North-West Province	Rural development and tenure security (government)	17 years

Source: Own construction (2015).

8.2 Questionnaire features

The questionnaire was compiled to facilitate the semi-structured interviews that were held, providing some focus and assisting in the discussion and evaluation of the principles that may be applied to a conceptual framework for sustainable livelihood development in the rural and predominantly rural areas of South Africa. As the questionnaire was used in interviews with key informants from different sectors, a balance was sought between oversimplified and overcomplicated questions when dealing with matters associated with sustainable rural livelihood development.

There were three main segments to the questionnaire: the first established the credentials of the interviewee; the second determined the priorities that each participant ascribed to factors associated with sustainable development (as construed from the literature study) and the third was a general section dedicated to eliciting a response from the participant regarding the advancement of sustainable development in South Africa. An example of the questionnaire is attached as Annexure A and an example of the consent letter is attached as Annexure B.

8.3 Interview outcomes

As stated in the beginning of this chapter, semi-structured interviews were held with 18 key informants from the different sectors of academia, government and non-governmental organisations. The outcomes of these interviews are summarised in the following sections, commencing with an evaluation and graphic representations of how the elements necessary for sustainable livelihood development were prioritised by the interviewees. It concludes with a discussion of the specific matters that interviewees felt were significant to achieve sustainable livelihoods.

8.3.1 General factors

In Figure 8-3, the prioritisation by the different sectors of interviewees of the general factors that have bearing on the development of sustainable livelihoods in the rural and predominantly rural areas of South Africa is illustrated. This question demonstrated the greatest variance in ranking by the different sectors, of the aspects relating to sustainable livelihood development. Of these general factors, that of the traditional community environment was considered the most important by the informants from the academic and government sector. The NGO sector participants, however, viewed sustainable development as the primary factor in achieving sustainable livelihoods. Interestingly, participants from the NGO sector and the academic sector inversely rank each other's least and most important factors. This may speak to the difference in perception and reality of the significance of certain factors in sustainable livelihood development. Academics may consider that sustainable development is an outcome of

community-based planning, place commitment and traditional community environment while the NGO sector may view it as a goal in itself. Place commitment and community-based planning were not considered as important as the other two aspects, although they were still acknowledged as vital components of a sustainable livelihood approach.

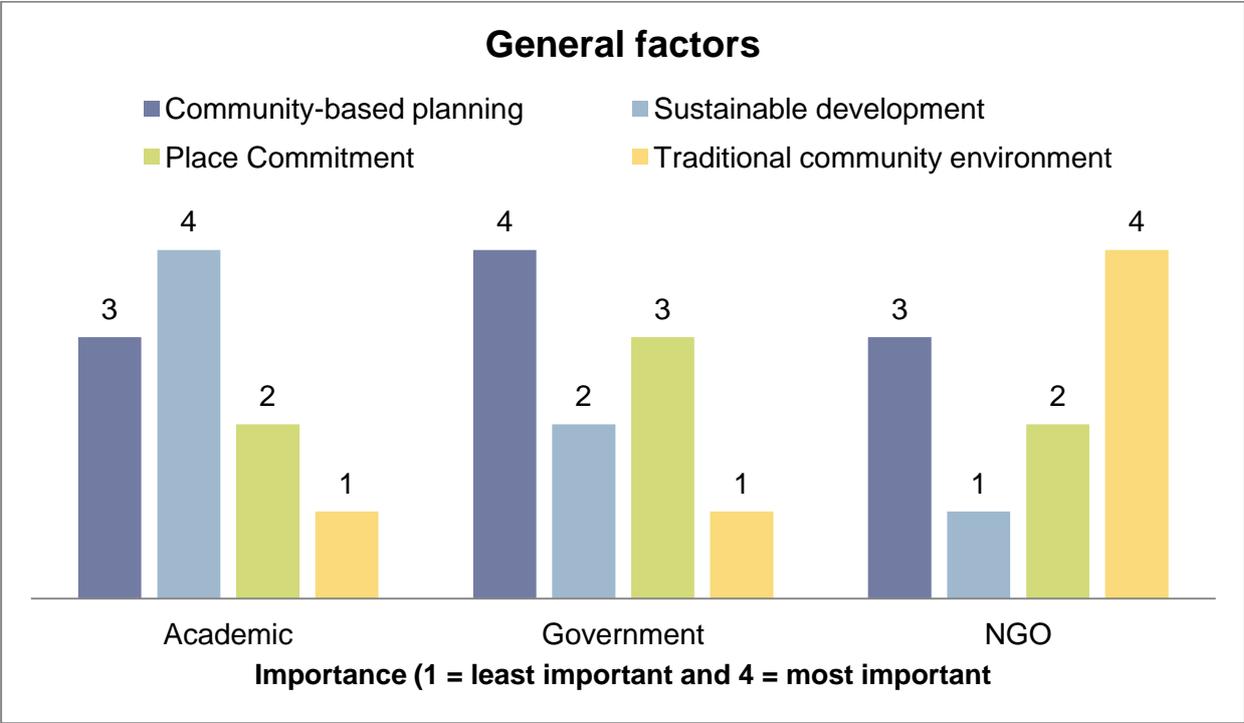


Figure 8-3: General factors

Source: Own construction (2015).

8.3.2 Economic factors

While there is quite a disparity in the prioritisation of the general factors relating to sustainable livelihood development, the different sectors’ interviewees’ ranking of the economic aspects of sustainable livelihood development is very similar, as is evident in Figure 8-4. Access to learning opportunities (which speaks to the need for the training and skills development of communities in rural areas) was considered the most important factor, with the need for self-sufficiency after that. It is possible that these two aspects may be addressed interdependently in strategies aimed at sustainable livelihood development. This may also indicate that there is a profound realisation among the key informants that training (empowerment) is a prerequisite for promoting sustainable livelihood development in the rural and predominantly rural areas of South Africa. The third most important factor was that of access to market opportunities, and lastly opportunities for age-related work, which may reflect an unconscious belief that economic development strategies should focus on supporting emerging or existing production activities,

instead of promoting and/or establishing (unsustainable) enterprises in order to provide opportunities for age-appropriate work (“teaching to fish instead of giving fish”).

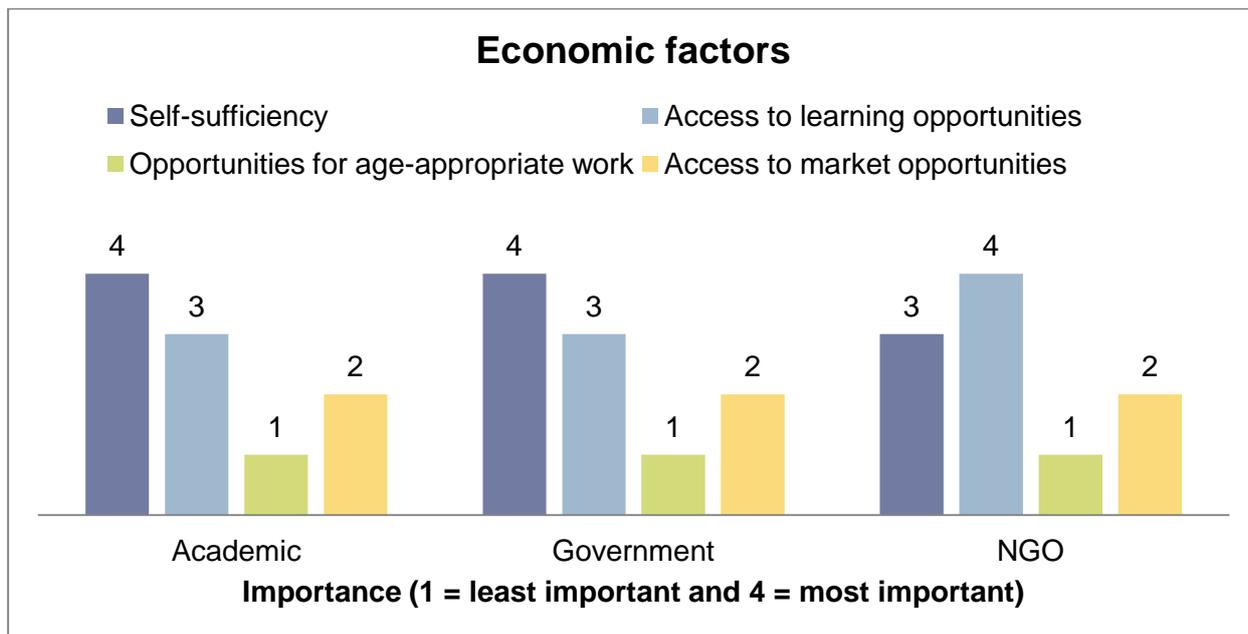


Figure 8-4: Economic factors

Source: Own construction (2015).

8.3.3 Physical ecological factors

As is apparent in Figure 8-5, the most important physical ecological environment factor (according to the interviewees) in the pursuit of sustainable rural livelihood development is the access that a community has to adequate housing and service provision. This aspect speaks to the very survival of communities and the most basic of needs. Without it, there can really be no discussion of sustainable rural livelihoods for a community. The next most important factor is equally split between safety and security, and access to a healthy environment (although the interviewees from the different sectors ascribe different weights to each factor). The need for safety and security is particularly understandable, as it reflects the uncertainty that especially vulnerable communities (the poor in rural and predominantly rural areas) experience with regard to their physical well-being. It may reflect the “powerlessness” prevalent in many communities, as well as the dissolution of interpersonal relationships (part of the culture of *ubuntu*). Sustainable resource use is considered the third most important factor, close in ranking to that of safety and security, and access to a healthy environment, which signifies that there is a realisation of the interconnectedness of these three factors. The last two factors, ecological diversity and access to recreational spaces, are not considered to be as important to the development of sustainable livelihoods as the first four aspects. It may also be a reflection of

the dire necessity for the provision of the basic needs of the rural and predominantly rural communities.

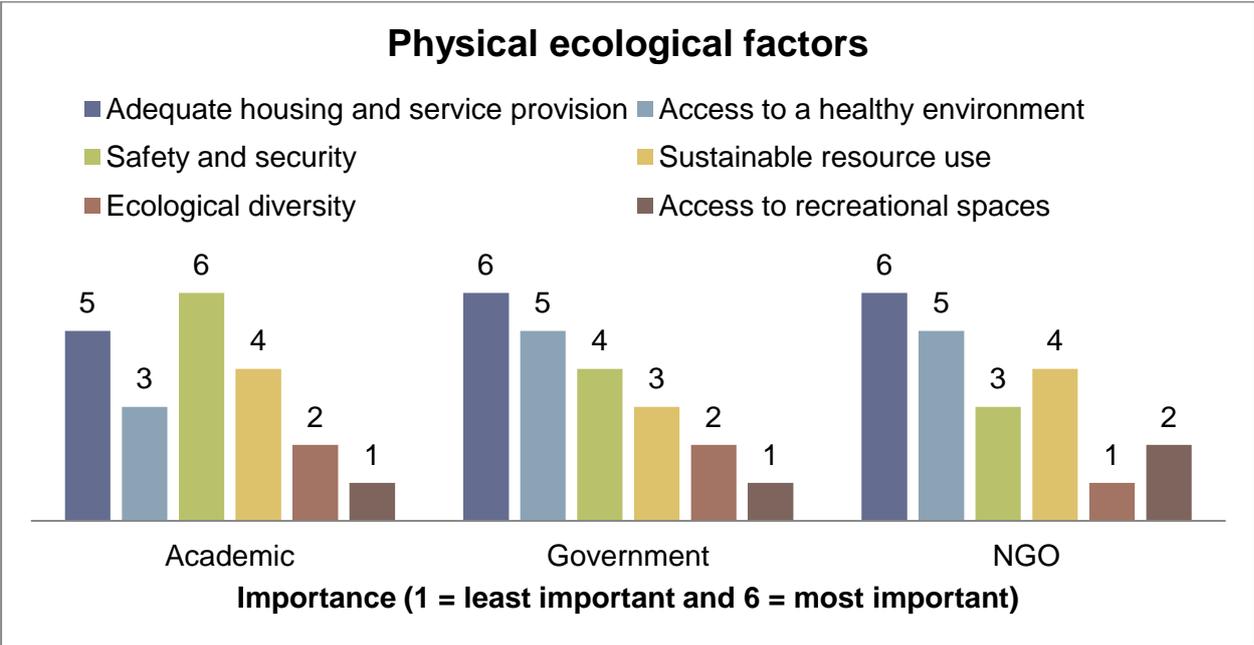


Figure 8-5: Physical ecological factors

Source: Own construction (2015).

8.3.4 Social factors

In the literature review, the significance of community (“tribe”) as a social factor in sustainable rural livelihood development was emphasised, specifically as it relates to survival strategies. This conviction is also evident in the responses of the interviewees (see Figure 8-6), with a near uniform ranking of meaningful relationships as the most important social factor in achieving sustainable livelihoods. The second factor is that of positive mentorship and role models, and the third is common community goals and aspirations, both of which relate to the value of networks in communities to establish and maintain sustainability. The fourth most important ranked aspect, the ability to solve problems, may sound esoteric, but it carries with it the belief that a community is able to rely on itself in times of crisis to find solutions that are appropriate to their circumstances, which in turn translate into the resiliency of a community. This also links with the ability to live with uncertainty and change, the factor placed fifth.

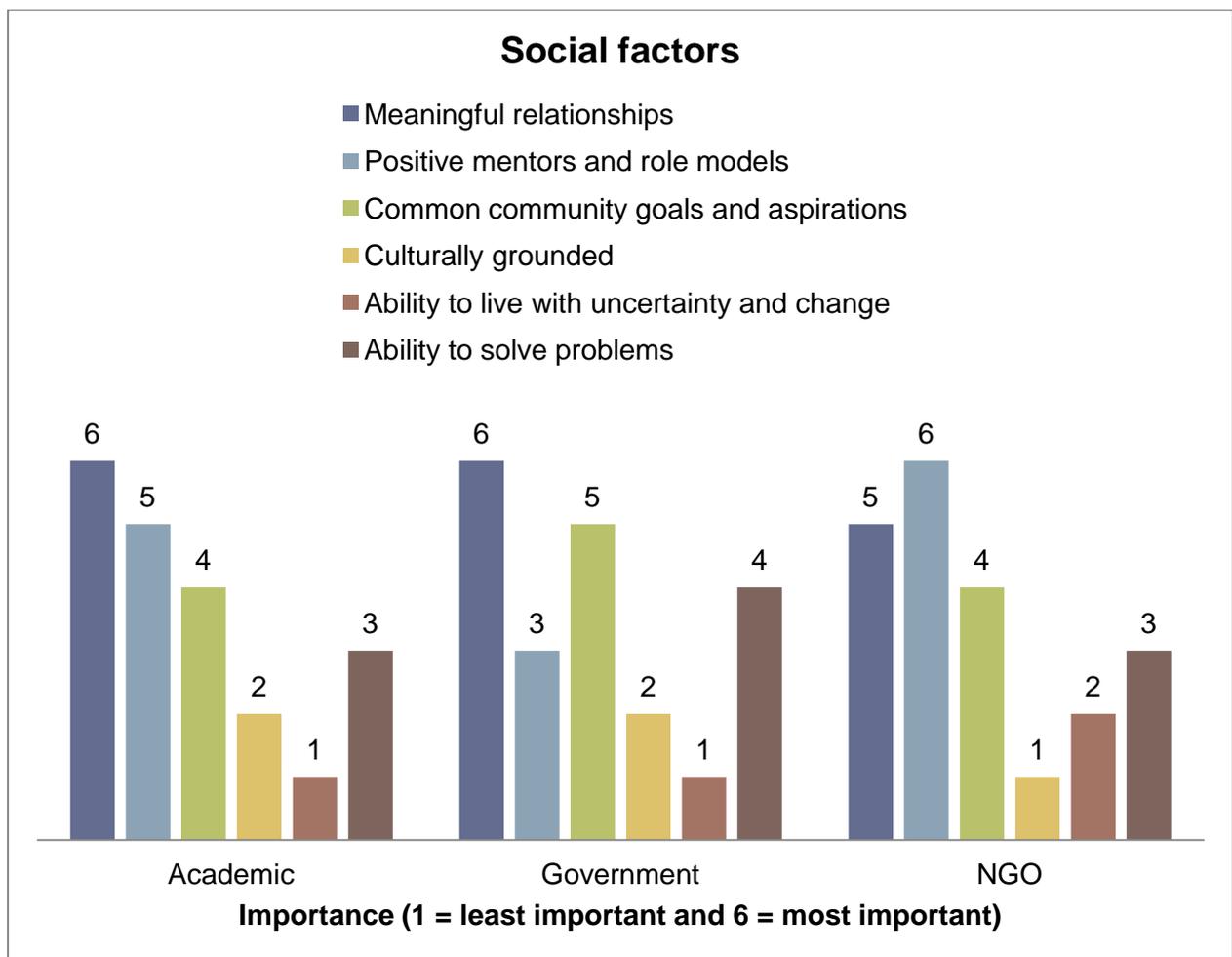


Figure 8-6: Social factors

Source: Own construction (2015).

8.3.5 Comments

Following from the more structured part of the interview, the comment section allowed for a free-flowing dialogue relating to the concepts articulated in the preceding discussion. The comments were captured in writing on the questionnaire. The comments from the interviewees were varied, spanning problems and solutions for sustainable livelihood development as well as reflecting the interviewee's specific field of expertise. These comments can be broadly divided into seven categories, namely community-based planning, empowerment, sustainable livelihood development and indicators, ecological imperatives, time and commitment given to the community, government relations and instruments, and land tenure arrangements.

Almost all the interviewees commented on the significance of communities' taking ownership of development initiatives within their area, in other words being part of community-based planning. The participants communicated a clear understanding that without it, the development of sustainable livelihoods is well-nigh impossible. One participant pointed out that

where communities do take ownership of operations and the maintenance of infrastructure, income is generated and the sustainability of services is ensured. It was also stated that the networks in communities must be leveraged, supporting the principle of synergy – where the whole of the community is more than the sum of its parts. It is necessary, however, to have the support of community leaders for community ownership of development, particularly traditional leaders. There must therefore also be a focus on individuals in communities, as one person can change a whole community.

Empowerment was one of the approaches vigorously advocated by the interviewees to counteract the prevalent reliance on the “welfare state” to address poverty issues. One of the interviewees commented that institutional and organisational life is generally poorly developed in rural and predominantly rural communities and the development of such a layer of organisational life (empowerment) is critical to support the sustainable development of rural communities. Furthermore, community-based planning can be pursued more effectively when the strengthening, support and empowerment of communities and community organisations take place. In this pursuit, it is important to place the emphasis on the abilities, interests and systems already present in communities (for instance sheep-shearing), as well as to correlate support and training with their needs and abilities.

In respect of the development of sustainable livelihoods, it was stated that particularly in rural and predominantly rural areas a range of alternatives must be developed to increase sustainability, as the economy cannot be dependent only on agricultural activities. In addition, self-reliance was emphasised, in the place of the prevalent reliance on external factors/agencies for support. In order to achieve this, small but successful projects may be more important than grandiose but fallible projects. In other words, sustainability should be built incrementally. Still, there is also a need for visible immediate benefits to encourage perseverance and to provide for the desperate needs that exist in rural and predominantly rural areas.

Some interviewees highlighted the ecological imperatives inherent in the development of sustainable livelihoods, stating that development practitioners needed a good understanding of the complex interaction of socio-ecological systems. It was even proposed that bio-regional planning should be considered, which transcends provincial or municipal boundaries.

One of the crucial issues stressed by interviewees was the time that would have to be devoted to the community, and the commitment to the community that would be necessary before support providers could commence with sustainable livelihood development initiatives. Getting to know the community before implementing projects was very important. Community support

agents had to have a proper understanding of the circumstances, needs and resources of a community.

As practitioners in the sustainable livelihood development arena, the interviewees were very cognisant of the influence of government relations and instruments on the successful realisation of the sustainability objective. Some of the proposals made included the better exploitation of existing structures, methodologies and procedures to facilitate sustainable livelihoods, more effective co-operative governance, and building capacity in the local government sphere for more effective planning, capacitating communities to help themselves, and developing a coherent framework for the implementation of planning instruments.

Last but not least, the issue of tenure enjoyed significant consideration, with interviewees stating that the clarification of property rights was of the utmost importance to ensure sustainable livelihood development. The right to use property was viewed as paramount to ensure commitment from the community to sustainable rural development. It was argued that more resources should be made available to secure tenure arrangements in rural and peri-urban areas, specifically regarding state land and communal land, to act as a catalyst for development

8.4 Summary

The preceding discussion reviews the process and the outcomes of the semi-structured qualitative interviews that were held with key informants to assess the relevance and suitability of the conceptual framework upon which to base proposals and planning recommendations for the development of sustainable livelihoods in the rural and predominantly rural areas of South Africa. This research method has resulted in both the collection of data as well as the generation thereof, relating to sustainable livelihood development. In the next chapter, these findings will be evaluated in terms of the literature review, to determine whether it augments the conceptual sustainable rural livelihood development paradigm as well as to provide validation thereof.

CHAPTER 9 ANALYSIS OF THE INTERVIEWS IN THE CONTEXT OF THE LITERATURE REVIEW

In the previous chapter the particulars of the research method used to collect and generate data relating to sustainable livelihood development, specifically semi-structured interviews with key informants were discussed. In this chapter these findings will be evaluated in terms of the literature review. Furthermore, the analysis aims to determine whether the interviews uncovered information that was lacking in theory, to consider whether any issues or misunderstandings identified in the literature review can be addressed using the interview data and, ultimately, to synthesise the empirical data with the theoretical data to propose a conceptual paradigm for sustainable rural livelihood development. The sections for this chapter are set out in Figure 9-1:

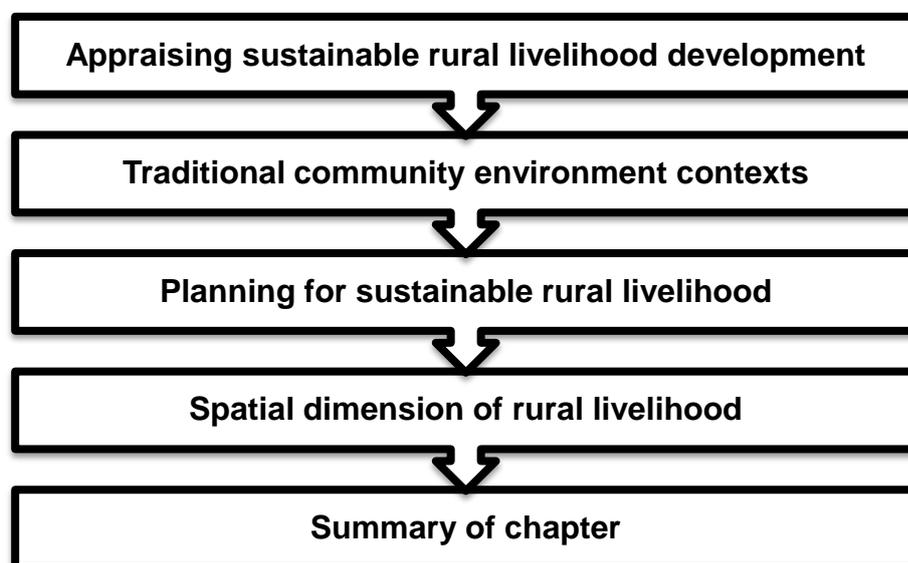


Figure 9-1: Chapter sections

9.1 Appraising sustainable rural livelihood development

The interviewees demonstrated an understanding that sustainable development (as discussed in Chapter 3) is a continuing process of mediation among social, economic and environmental needs which results in positive socio-economic change that does not undermine the ecological and social systems upon which communities and society are dependent. In various ways they also supported the contention gleaned from the literature review that integrated policy, planning and social learning processes are essential for sustainable livelihood development to succeed, as well as the full support of government, social institutions and private activities. In particular the pursuit of self-reliance as a sustainable development strategy, instead of reliance and

dependence on external factors or agencies for support (“asystemic” factors as identified by Goldsmith), was advocated by the interviewees.

Regarding the definition of sustainable development and the attendant sustainability indicators, there was agreement that the relevance of the socio-political context in determining the successful implementation thereof is paramount. In addition, the proposed approach towards defining realistic sustainable development (in terms of the literature review) was reiterated by the interviewees, namely:

- That sustainable livelihood development must be defined within the specific context of the community (environmental, socio-political and economic);
- The measurements/metrics for sustainability must be defined and instituted as soon as possible;
- Small but successful projects must be implemented early on, increasing sustainability with each successive stage. In other words, sustainability must be built incrementally; and
- Continuous monitoring to ensure that sustainable living must be achieved (according to measurements) and, if not, modifications must be made to achieve the desired result.

Diversity in respect of sustainable livelihood development was advocated by some of the interviewees, who stated that particularly in rural and predominantly rural areas, a range of development alternatives must be pursued, as the economy cannot be dependent only on agricultural activities.

9.2 Traditional community environment contexts

As stated in the previous chapter, participants from the NGO sector and the academic sector inversely graded each other’s least and most important general factors (the concepts upon which the conceptual framework is to be based). The NGO participants ranked traditional community environment as the least important factor in sustainable livelihood development, while the academic participants viewed it as the most important. Conversely, the academic sector viewed sustainable development as the least important factor in sustainable livelihood development, while the NGO sector viewed it as the most important. This may be an indication of the difference in perception and reality of the significance of certain factors in sustainable livelihood development. It may also be a reflection of the social responsibility and entrenchment of NGOs in communities; that is their being so close to and part of communities’ networks that they do not realise how the traditional community environment permeates the development context. In the interviews, however, it was clear that there is some comprehension of the value of the traditional community environment for sustainable livelihood development. Some interviewees alluded to the principle of “synergy”; namely, that the whole is more than the sum

of its parts. The significance of leveraging networks to achieve the goals of sustainable livelihood development and “releasing community energy” was also stated. In this regard, although not explicitly stated, their views echoed the “network” characteristics of traditional African community environment, namely that of community-based systems and the economy of affection, as discussed in Chapter 4.

Lastly, secure land tenure, as part of the traditional community environment, was emphasised as a crucial element in sustainable livelihood development. Some interviewees stated that the clarification of property rights was of the utmost importance to ensure sustainability. It was argued that more resources should be made available to secure tenure arrangements in rural and peri-urban areas, specifically regarding state land and communal land, to act as a catalyst for development

9.3 Planning for sustainable rural livelihoods (community-based planning)

Both the concept and the implementation of community-based planning in realising sustainable livelihood developments in rural and predominantly rural areas are recognised in the literature review (see Chapter 5) and the judgment of key informants in different sectors. The particular phrase used by the interviewees is that of “ownership”: communities needed to take ownership of the development initiatives in their environment. This would create opportunities for the sustainable provision of services and promote a culture of self-reliance.

There is awareness, however, in both the literature and among the practitioners, that the ability to participate in the planning process is significantly influenced by the power (material, social, political and psychological) that participants have. Of particular concern is the poor development of institutional and organisational life in rural and predominantly rural communities. The belief is that the development of such a layer of organisational life (empowerment) is critical to support sustainable rural livelihood development. This viewpoint is borne out in the literature review, which identifies power differentials between different participants in the planning process as a key challenge. Proposals from interviewees to address this issue include strengthening, supporting and empowering communities and community organisations. Furthermore, empowerment strategies should emphasise abilities already present in communities, as well as correlating support and training with their needs and abilities. This includes the identification of community “champions” to campaign for sustainable rural livelihood development, as “one person can change a whole community”. In the rural and predominantly rural areas of South Africa, empowerment strategies should also have specific focus on and provision for women, acknowledging their position as mainstays in the struggle for community survival.

One of the crucial issues stressed by interviewees is the commitment of time to the community that is necessary before support providers can commence with sustainable livelihood development initiatives. This aspect is not readily identified or discussed in the literature concerning sustainable development and should form part of the strategy of community support agencies in sustainable livelihood development.

As practitioners in the sustainable rural livelihood development arena, the interviewees are very cognisant of the influence of government relations and instruments on the successful realisation of sustainability objective, which include planning approaches such as the IDP. Some of the proposals to boost the effectiveness of these instruments include the better exploitation of existing structures, methodologies and procedures to facilitate sustainable livelihoods, more effective co-operative governance, building capacity in the local government sphere for more effective planning, capacitating communities to help themselves, and developing a coherent framework for the implementation of planning instruments. The importance of the role that the NGO sector has in this regard is acknowledged in both the literature and the empirical review.

9.4 Spatial dimension of rural livelihoods

The spatial dimension of rural livelihoods is reflected in the value of local context when defining sustainable development. It supports the promotion and consolidation of the taking of localised decisions to provide an implementable compromise between top-down policies and bottom-up social networks. However, an African context-specific micro-development approach has not yet been developed (see Chapter 6). This was evident in the responses of the interviewees, who all recognised the complexity of rural South Africa. One of the interviewees did state that sustainable livelihood development should not undermine the particular character of rural and predominantly rural areas, while another indicated that more natural boundaries should be considered when defining planning regions. Consequently, although micro-development vigorously pursued internationally and has emerged from the NDP (2012: 264) as a viable approach towards sustainable rural livelihood development, consultation with the interviewees indicated that it has not yet been established in the South African context.

9.5 Summary

The analysis of the interviews in terms of the literature review indicated a significant correlation between the experience of key informants and the research conclusions regarding the concepts relating to the development of sustainable livelihoods. A few pertinent issues were uncovered by the empirical research which had not been dealt with in the literature survey and *vice versa*. These issues relate to the necessity of support agencies spending time in communities and getting to know them before embarking on development initiatives, as well as the need for a more thorough understanding of the traditional African community environment. These findings

will be used in the next chapter to define a sustainable rural livelihood development paradigm. A summary of the analysis is provided in Figure 9-2:

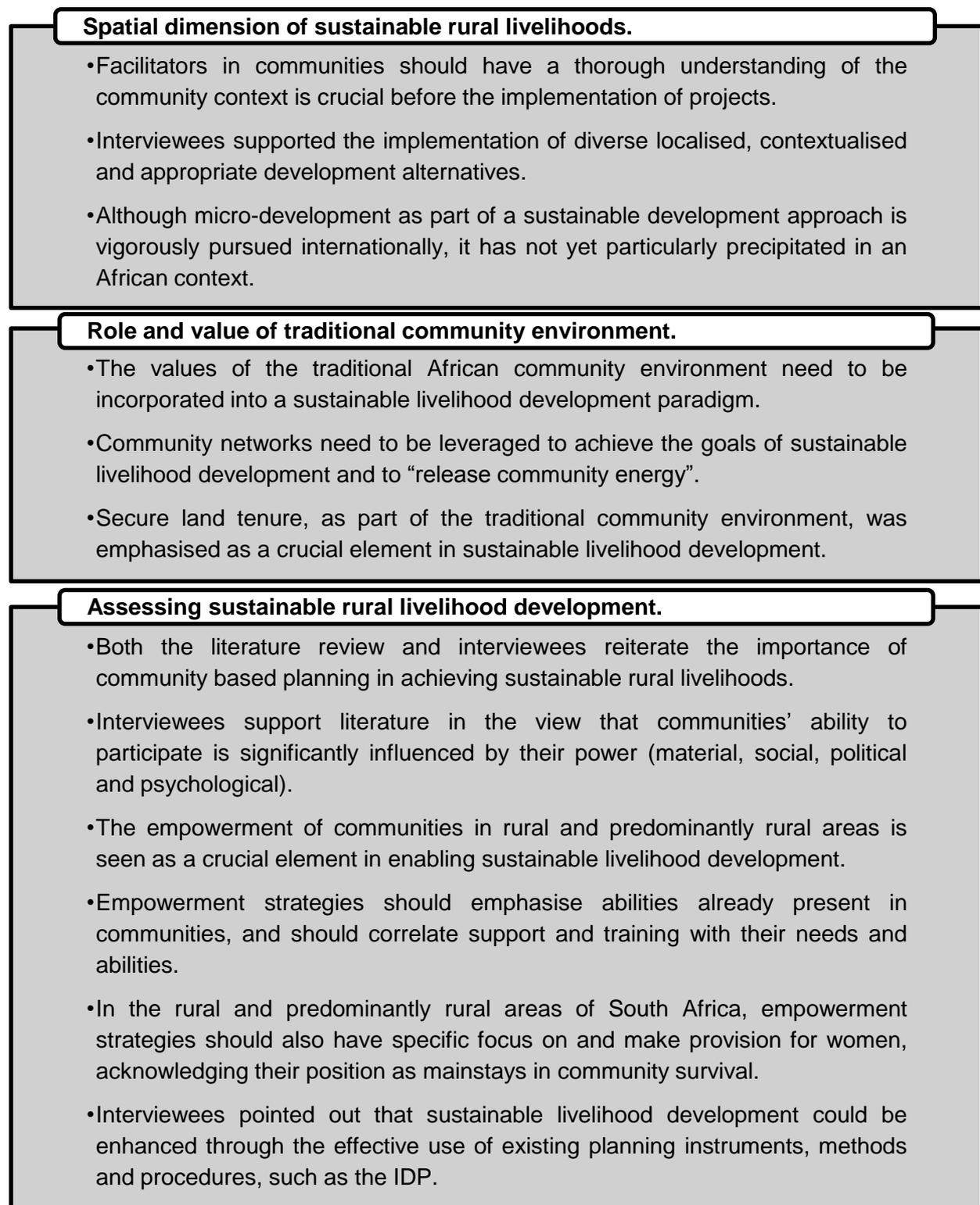


Figure 9-2: Summary of chapter

Source: Own construction (2015).

PART 4 SYNTHESIS

CHAPTER 10 SUSTAINABLE RURAL LIVELIHOOD DEVELOPMENT PARADIGM

The preceding analysis derived from available literature and research, as well as the empirical augmentation and verification thereof through interviews with experienced key informants, have established the concepts that will be used in this chapter to outline a conceptual paradigm for sustainable rural livelihood development. In particular, the methodological planning approaches of sustainable (livelihood) development and community-based planning, with the specific proposed application thereof in the South African context through micro-development and the African traditional community environment context, together with the insights gained from experienced key informants, are synthesised into a sustainable rural livelihood paradigm (illustrated in Figure 10-1). This paradigm recognises the complexity of farming and livelihood systems within which communities in predominantly rural areas of South Africa exist, and prioritises the indispensable need to empower women in this context.

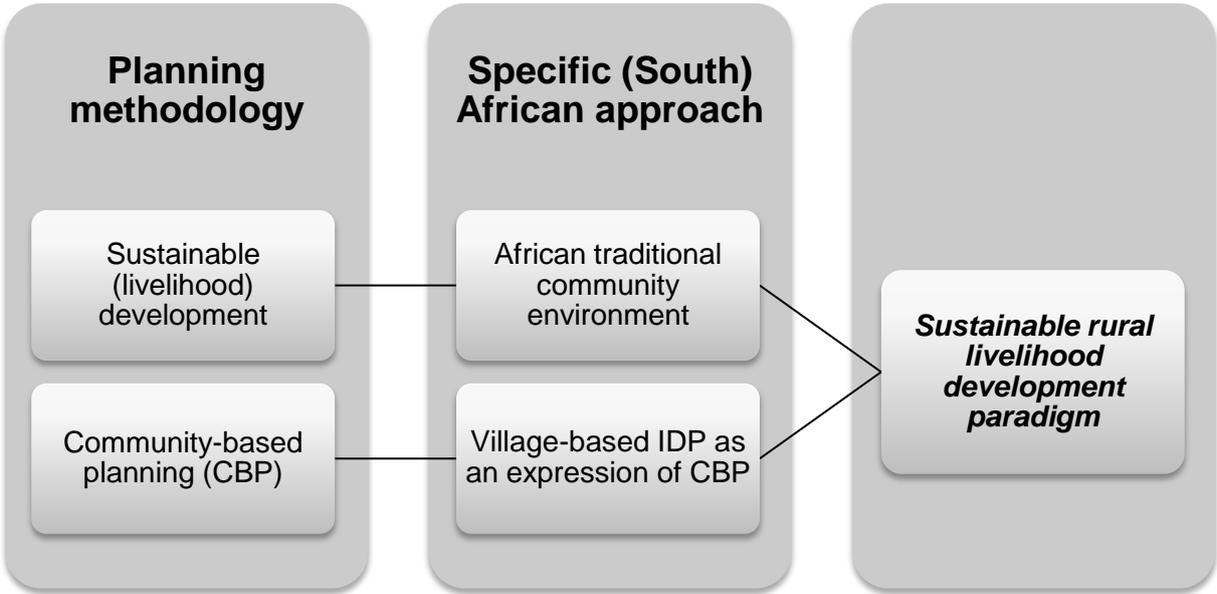


Figure 10-1: Concepts supporting sustainable rural livelihood development paradigm
 Source: Own construction (2015).

The purpose of the sustainable rural livelihood development paradigm presented here is to foster the ability of communities in areas with a predominantly rural character to survive and thrive in a dignified manner, based on the principles of social, economic and ecological sustainability. The approach advocated to achieve this is through the creation of a closed local environmental and reproduction cycle, using and developing technologies and production systems that are suited to the local place and its resources, and an open system with regards to commercial relations based on fair trading. This process would require integrated efforts from a

range of role-players, in particular the community itself, as well as civil society, government bodies and non-governmental organisations, to provide an enabling environment for sustainable rural livelihood development. The legal and policy framework of South Africa assists in this regard by defining the roles and responsibilities of the relevant role players in this framework.

The three foundational principles of this paradigm are *ubuntu*, or “I am a person through other persons”; the restoration of the self-esteem of the marginalised poor by enabling them to supply their most basic needs independently (empowerment); and the promotion the ongoing learning of community members through research, support and evaluation by all participants and stakeholders in this initiative. This approach is particularly appropriate for the predominantly indigent areas, and could be initiated with a food security project that provides basic agro-ecological training. In improving agricultural yields, not only would the basic needs of the community be satisfied, but it should also lead to the development of different training demands such as literacy, numeracy and other life skills (De Lange, *et al.*, 2000:iv-vii). The three principles grounding the paradigm can respectively be linked to the three successive phases of the sustainable rural livelihood development paradigm, namely identification and education, mobilisation through village-based IDP, and implementation and sustaining, illustrated in Figure 10-2.

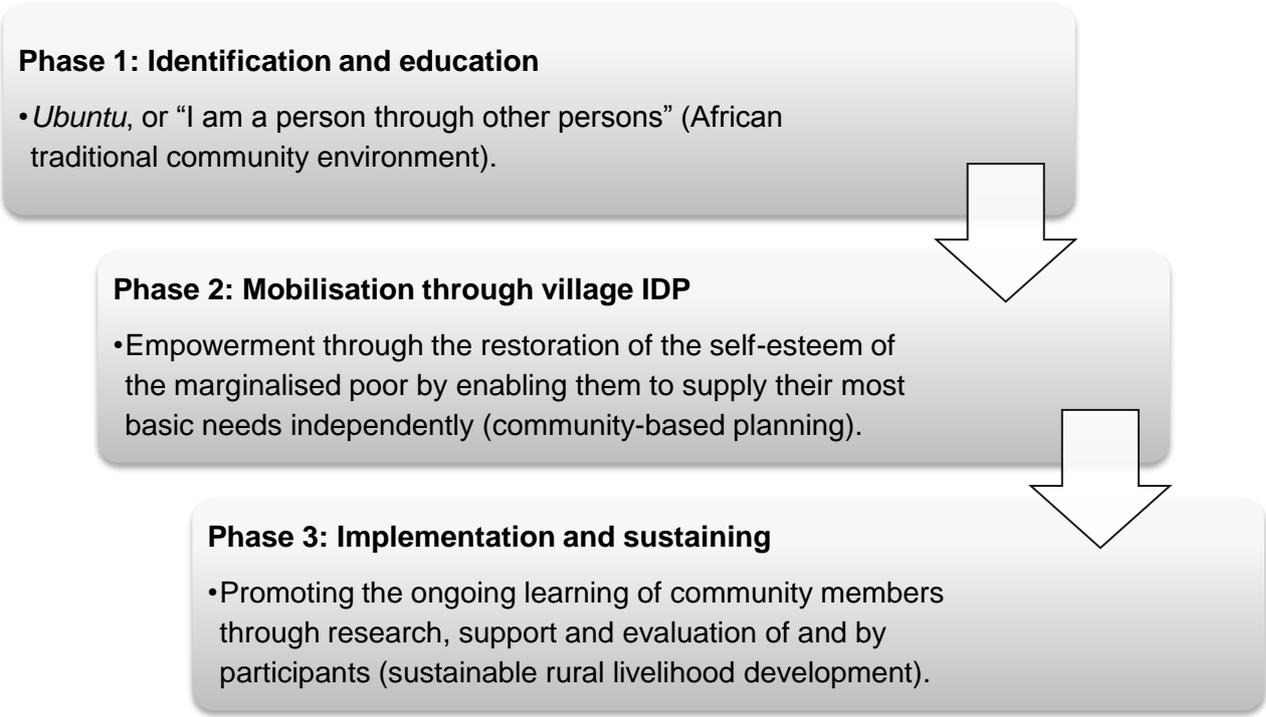


Figure 10-2: Phases of sustainable rural livelihood development paradigm

Source: Own construction (2015).

In the following exposition, the proposed paradigm is discussed in the chapter sections listed in Figure 10-3:

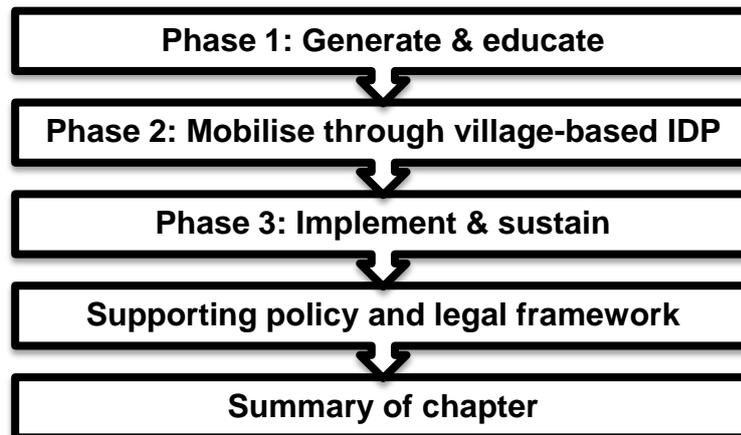


Figure 10-3: Chapter sections

10.1 Phase 1: Generate and educate

The discussions in the prior chapters have clearly established that certain prerequisites must be met before viable sustainable rural communities can be established. These prerequisites consist of the necessity for a cohesive community or social organisation (“tribe”), security of access to land (“tenure”) and aiding community members’ efforts at developing resilience and sustainability (“training”). The accounts of initiatives related to sustainable development planning throughout South Africa (and Africa) in the previous chapters have proven time and again that these three requirements are vital for the success of sustainable rural livelihoods.

10.1.1 Tribe

The first (and arguably most important) requisite for sustainable rural livelihood development is that of a cohesive community or social organisation (“tribe”). “Tribe” can be described as the social manifestation of the concept of synergy (where the whole is more than the sum of its parts), which is an indispensable component of sustainable development (Goldsmith, 1972:20; Silberstein & Maser, 2000:175). If the focus of a community is on individuals and nuclear units operating largely independent of one another, it is almost certain that the goal of sustainable livelihood will not be reached. In this instance, success would depend on an external (global) economic model which favours mass-production to ensure individual survival. However, shifting the focus to a cohesive community where the principles of *ubuntu* are followed (as described in the chapter pertaining to the traditional African environment context), it is possible to leverage the power of networks (synergy) in a community to achieve sustainable rural livelihoods.

Each settlement (or community) is unique with its own needs, wants and aspirations. In this regard, the Council for Scientific and Industrial Research (CSIR) (2012:8) defines a settlement as “a distinct human community in its physical, socio-economic and environmental totality which requires the provisioning of services such as engineering and social services”. Settlements can be ordered by size and other factors to define a settlement hierarchy, ranging from city regions to hamlets or dispersed rural settlements. In this paper, the focus is mainly on settlements that are classified as Category H (according to the hierarchy of the CSIR, 2012:11), namely villages that are often located more than 20 km from larger settlements with catchment sizes of these settlements ranging from 500 to 5000 people.

The consideration of a cohesive community as the foundation for sustainable development necessitates a planning approach that regards the social world of communities as integral to the process. In this regard, community-based planning is considered the best approach, as it recognises that mental models and knowledge, as well as the diversity of interests and expectations, are the result of a specific social context (Habermas, 1981; Healey, 1996, 1997 & 2000; Hoch, 1984 & 1996; Innes & Gruber, 1999). This approach also ensures that a community takes “ownership” of its own development, an aspect which almost all the interviewees emphasised as a crucial condition for sustainable rural livelihood development. This is the cornerstone of thriving sustainable livelihoods (as well as sustainable rural livelihoods), communities that have defined themselves, as well as their rights, responsibilities and desired outcomes.

A community-based approach towards sustainable rural livelihood development also provides the opportunity to establish the central role and contribution of women in this process (Dixon, 1990:107; Van Koppen, 2002:73; Lynch, 2005:133). Gender-specific considerations can be included as a matter of course in the process and the active participation of women sought whenever possible. Some of the gender-specific considerations include that women in predominantly rural areas have very little time for any kind of participation and training, due to their household responsibilities. Sufficient provision (for instance child care) should therefore be made to enable their participation and training. It should also be considered that women have their own particular knowledge, expertise and values that they can contribute, as well as specific preferences in the evaluation of alternative measures for sustainable practices.

10.1.2 Tenure

Secondly, the security of rights to access land (specifically tenure arrangements) is imperative to effect the implementation of sustainable livelihoods (NDP, 2012, p 225). A myriad of authors have drawn the correlation between the legality of access to tenure and developing a sustainable livelihood strategy for the poor. These authors include Nel and Hill (2000),

Bryceson (2009:241-260) and Brown-Luthango (2010:123-138), all of whom underscore the fundamental requisite of indisputable tenure access in order not only to ensure the survival of communities (including the provision of basic housing needs), but also to ensure that communities thrive by supporting stability and growth. It is also a viewpoint shared by the key informants interviewed for this study, across the range of different sectors concerned with the development of sustainable rural livelihoods in South Africa.

Land tenure in South Africa is a complex issue, more so than in other parts of Africa due to the history of apartheid and the existence of numerous indigenous cultures (NDP, 2012: 221). For these and other reasons, a context-specific and flexible approach towards security of tenure is needed. "Formalisation at all costs" as an approach does not take into account the realities of existing practices and local livelihoods, and the myriad interests and conflicts that often surround land. It disregards the reality, for instance, that titling programmes in other countries in sub-Saharan Africa have proved to be expensive to implement; that they have not resulted in the hoped-for boosting of commercial agriculture; and according to Hall and Du Toit (2011) have in many cases exacerbated poverty and inequality. Additionally, in a democratic political system such as South Africa, any structural reform aimed at radical land tenure reform (including the limitation on size of holdings in private ownership) is problematic. India, as an example, relinquished this approach as it realised that cooperative community development at village level would achieve much better reform results (Bunce, 1982:195). South Africa's legal framework recognises this reality and although freehold tenure is pursued as the preferable form of land tenure for instance in terms of the Upgrading of Land Tenure Rights Act (Act 112 of 1991) and the Less Formal Township Establishment Act (Act 113 of 1991), provision is also made for communal property ownership in terms of the Communal Property Associations Act (Act 29 of 1996)

An approach better suited to South African (and African) circumstances is one that considers local settings and specific objectives and tools, taking into account politics and culture (Sjaastad & Cousins, 2009:1). What is needed expressly is a wider perspective that recognises the realities of existing practices and local livelihoods and the myriad interests and conflicts that often surround land. This is the approach advocated by the NDP (2012: 222), which cautions that although land rights and the right to use land in communal areas are often viewed as equivalent; in reality it is dependent on the purpose for which land is used. In a similar vein, the DRDLR (2014:104) proposes that the relevant municipality in co-operation with the Traditional Council, enter into a Memorandum of Agreement on how their areas will be included into the municipal LUMS, which includes the issuing of consent letters by the Traditional Council. These consent letters would formalise the rights to use land for specific purposes for the holder of the letter, including access and residence. It should also contain the particulars of the holder of the

land use rights and the consenting Traditional Council. However, it cannot supersede the authority of the Municipal Council and as such, land use applications must be submitted to the municipality for approval. Furthermore, traditional councils and municipalities must collaborate to include communal land in municipal land development policies, in order to assist in the service and infrastructure provision for these areas.

One of the foremost proponents of this approach is Professor Ben Cousins from PLAAS (Programme for Land and Agrarian Studies), who argues that land reform (including redistribution and restitution) should intentionally be linked with “agrarian reform,” and consist of a set of policies, programmes and actions to improve the access of land-based families to infrastructure, services, and markets (Cousins, 2007:281; Cousins, 2013a:116). As an example, consideration should be given to the fact that communal land tenure is not necessarily insecure tenure. It can be an instrument for the flexible allocation of land rights and access to those in need, as evidenced by productive smallholder and subsistence farming taking place on land that is not under freehold title in other developing parts of the world (Hall & Du Toit, 2011).

The approach of the Department of Human Settlements towards housing provision in rural areas may provide guidance with respect to the clarification of tenure rights. The rural housing interventions focus on areas outside formalized townships where tenure options are not registered in the Deeds Office but rather protected in terms of land rights legislation. Instead of registered individual ownership in formal towns, rural households have protected informal tenure rights and/or rental or permission to occupy. There are three types of tenure arrangements that the Housing Code (2009:32) designates, as follows:

- Functional tenure rights of persons to the land they occupy, usually administered by traditional authorities or in terms of community arrangements, with informal land allocations and demarcation, traditional housing structures and a subsistence farming economy. Supplementing this approach is a proposal from one of the interviewees, namely that of a system where certificates are consigned to community members (either individuals or families), granting them usage rights to a specific portion of communal land (usually 2 hectares).
- A Labour Tenant Strategy that provides access to farms for beneficiaries in terms of ownership.
- Tenure arrangements between farm residents and farm owners, either rental agreements or ownership of a portion of the farm.

10.1.3 Training

The importance of the third requirement for achieving sustainable rural livelihood development, namely training (or the empowerment of communities) cannot be overstated. Empowerment is essential if people are to accept responsibility for the solutions to their problems (Goldsmith, 1977:138). Most of the key informants supported this stance, affirming that the empowerment of communities in rural and predominantly rural areas is essential to the development of sustainable rural livelihoods. Placing rural people in the centre of their development (a stance consistently supported in the policy and legal framework of South Africa, beginning with the RDP) requires their empowerment (Munro, 1996:1).

The profusion of private and public aid organisations (particularly in Africa), however, has illustrated that communities seldom have the ability to build their own capacity and empower themselves to meaningfully participate in planning processes. In South Africa, government is often viewed as the primary personal and community development agent, but the DRDLR (2013b:93) supports diminishing government's role in this regard and investigating alternative methods to empower and mobilise people for their own development. The invaluable service that trainers and facilitators from NGOs can provide in this regard is pointed out by various authors, including Farrington *et al.*, (1993), Nel & Hill (2000), Dale (2004), Mwanyama (2004), Zetter & Watson (2006) and Coetzee & Du Toit (2011b).

When an appropriate training strategy is considered for a community, it should be approached in an integrated manner, focussing not only on the required training itself but also on the abilities and skills already present in the community (Coetzee & Du Toit, 2011b:3). Training and support should be timely, consistent and appropriate, considering the local circumstances and community (DRDLR, 2013b:47). Understanding the community context and combining it with empowerment, awareness and capacity building is the most successful route to encouraging economic development (Mwanyama, 2004:viii). Key informants stressed the need for empowerment strategies that emphasise abilities already present in communities, and correlating training strategies with the particular community environment, in order to achieve sustainable rural livelihoods. Moreover, a key aspect of training is to enabling communities to be self-reliant, so that they do not remain obligated to the providers or sponsors of sustainable technologies (Bonnet & Andrew, 2003:150). An appropriate training strategy also provides an excellent opportunity to empower rural women, especially the older women who tend to be drivers in communities (Coetzee & Du Toit, 2011b:34).

In South Africa, the relevant context of predominantly rural communities includes matters previously discussed in Chapter 4, such as the existing complex farming systems, the influence of gender (specifically the position of women), and the impact of social obligations, land

resources and access. Other specific issues in rural areas include the fear of making decisions, the fear of hunger, the fear of family break-up, respect for the ancestral spirits, the fear of losing the little they still have, the fear of the trainer, and even a fear of training itself (De Lange, et al., 2000:xi-xii). The majority of rural people are unable to satisfy their most basic needs. They therefore feel that they have failed in life and have developed an extremely poor self-esteem as a result (May, 1998). This often leads to a negative frame of mind and extreme resistance to change (De Lange, *et al.*, 2000:xi).

It is imperative however, that empowerment includes treating members of a community with respect, valuing the significance and potential of their understanding for development (such as tradition, history of personal experience and indigenous knowledge) and providing them with the necessary skills to utilise this knowledge in developing sustainable rural livelihoods. Sustainable rural livelihood development is not an endeavour *for* but an endeavour *by* the community and as such training should involve a partnership between trainers and the community (Coetzee & Du Toit, 2011b:xii). It supports the notion of empowering communities via training that meets the needs of recipients rather than that of the trainers' Dale (2004:183). This approach constitutes a morally-informed basis for sustainable rural livelihood development and is fundamental to addressing and alleviating poverty. As Friedmann (1992:13) emphatically states, poverty is not only material, but also social, political and psychological powerlessness.

10.2 Phase 2: Village-based IDP

When the prerequisites of phase one have been met with, phase two can commence, namely compiling a village integrated development plan to establish sustainable rural livelihoods in a settlement. The needs, wants and aspirations of each community should be explored and quantified in terms of its objectives pertaining to water & energy, food security, housing, waste, transport & ICT, education, local economic development and health. This village-based IDP should at least include the essentials for survival, but should also endeavour to include the community's vision of what it could ideally be, a plan for thriving.

The approach of constructing a village-based integrated development plan, acknowledges that the issues of social diversity, marginalised groups and asymmetrical power structures (especially of settlements in predominantly rural areas), can most effectively be addressed using the principles of community-based planning. The key principles underlying this approach are adapted from those proposed by Zetter and Watson (2006:14-17) for sustainable development and are set out in Table 10-1:

Table 10-1: Key principles for sustainable rural livelihood development

<p>Temporal, physical and social construct of community</p> <ul style="list-style-type: none">• Sustainable livelihoods are a social construct located in time and space, representing the contested territory of different values, aspirations and power.
<p>Empowerment of community</p> <ul style="list-style-type: none">• Building local capacity and enabling local communities to determine their own needs and development aspirations is essential in ensuring sustainability. Harnessing the capacity of local communities for community decision-making structures inherent to their social organisation ensures that local people can access the necessary tools, support and resources together with the appropriate levels of autonomy.
<p>Value of localism</p> <ul style="list-style-type: none">• Valuing locality or the significance of built heritage for a community as well as indigenous local technologies, cultural precepts of urban and rural design, how spaces, places and neighbourhoods are used, and replicating and adapting it to contemporary circumstances is essential.

Source: Adapted from Zetter & Watson (2006:14-17).

In essence the village IDP as contemplated in Phase 2 of the sustainable rural livelihood development paradigm would be comprised of three parts: first, the vision and principles of the village community (their manifesto); second, a minimum sustainable livelihood metric with short- and long-term goals; and third, a comprehensive plan.

The village community manifesto should already have been established in Phase 1 of the sustainable rural livelihood paradigm (discussed in Section 10.1.1), as part of determining the “tribe”. Each village (or settlement) is unique with its own needs, wants and aspirations. In this regard, the Council for Scientific and Industrial Research (CSIR) (2012:8) defines a settlement as “a distinct human community in its physical, socio-economic and environmental totality which requires the provisioning of services such as engineering and social services.” Settlements can be ordered by size and other factors to define a settlement hierarchy, ranging from city regions to hamlets or dispersed rural settlements. In this paper, the focus is mainly on settlements that are classified as Category H according to the hierarchy of the CSIR (2012: 11). These are villages not located nearby larger settlements and catchment sizes ranging from 500 to 5000 people.

The minimum plan would contain short- and long-term goals for water & energy, food security, housing, waste, transport & ICT, education, local economic development and health. The

comprehensive plan should contain long-term monitoring measures: reliably food secure, increase in productive and household assets, multiple viable sources of income and the ability to successfully respond to shock (resilience). A village IDP addressing service provision has to adopt an integrated and holistic approach, especially in rural areas. Matters such as societal issues (underlying values and assumptions of community member), different world views of stakeholders, consideration of indigenous knowledge and practice, systemic framework for the incorporation of sustainable technologies (including implementation and monitoring) (Bonnet & Andrew, 2003:149-150).

The discussion in previous chapters has emphasised the “self-reliant” nature of sustainable rural livelihood development, and in support thereof service delivery options that may be included in a village IDP are discussed in the following paragraphs. These are the type of services usually rendered by government, but which may be undertaken by village communities themselves. It is an approach supported by the White Paper on Local Government (p.75) which lists it as one of several methods for municipalities to manage service delivery in their areas, namely partnerships with community-based organisations and non-governmental organisations. Moreover, the TLGFA makes provision for traditional councils to enter into partnerships and service-delivery agreements with government in all spheres. According to Shylendra & Rani (2004:148), the formation of people’s institutions for common property resource management would strengthen development in rural areas.

10.2.1 **Water & energy**

The most suitable approach to achieve sustainable rural livelihoods in terms of the provision of water and energy to a village community is through appropriate small-scale, decentralized green technologies, based on the values, goals and consumption choices of communities. Such technologies are available and generally locally affordable, heterogeneous, and well adapted to local culture, economy, community and environment. Some of the viable options (especially for rural areas) listed by the DRDLR (2013b:88) include biogas, windmills for water pumping, roof rainwater harvesting structures, solar cookers and solar lanterns. This approach reflects the principles stated in the beginning of the chapter.

Situating bio-system technologies in their local context and focusing on the costs to the local economy, community and eco-system could lead to a community’s deciding to not to adopt technologies that are standard elsewhere. Curtis (2003:90) cites the Amish example in this context, stating that “(m)ost Amish sects do not reject electricity any more, but only electricity brought directly from the outer world into the home. Home-generated electricity, from wind, sun or diesel motor, is generally accepted for use in the barn and in the workshop”.

The social or cultural limits that a village may place on technology could reduce its social and environmental costs; minimize dependence on the outside economy, and lower production costs. In addition to renewable forms of energy whose fuel (sun, water or wind) is locally available, other examples of appropriate (agricultural) technology may include the use of inter-cropping and integrated pest management instead of chemical pesticides, compost or manure instead of petroleum-based fertilizer, and draft animals rather than tractors in the fields. In South Africa it is possible for communities to also make the choice not to use standard technologies for service delivery as, in terms of the Spatial Planning and Land Use Management Act (SPLUMA) (Act 16 of 2013), the provision of services in an area where development takes place is agreed upon between a municipality and the applicants for development. Furthermore, the NDP (2012: 415) states that the lack of capacity in local municipalities to deliver services should encourage public-private partnerships to enable the necessary service delivery. To ensure the agreement makes provision for the continued and sustainable service delivery, the following considerations should be taken into account when drawing up the agreement:

Table 10-2: Considerations for continued service delivery agreement

- Preserving the natural habitats on the village land;
- Wetland and water body conservation;
- Agricultural land conservation;
- Processing the organic waste produced on site;
- Rendering harmless any initially toxic waste from the village;
- Recycling all solid waste from the village;
- Minimising or avoiding adverse environmental impacts of any products brought into the village from other areas;
- Providing access to public transportation; and
- Reducing auto-mobile dependence.

Source: Gillman (1991:10); Gale (2008); EGC (2011:4-5).

Specific bio-system services that can be provided locally with the commitment of the local community are water, sanitation and energy. This is in accordance with the proposal in the NDP (2012:182), that household grants for self-supply may be considered in some areas with scattered rural communities. Some examples of how this can be accomplished, as well as the principles relevant to the achievement of this objective, are set out in the following paragraphs. All the available technologies are not discussed, as the range thereof is extensive and the appropriateness to a specific community would be contained in its village-based IDP. The assistance of a core support team for the village would be invaluable for the community to determine their best application of technology.

10.2.1.1 Water

The provision of water is perhaps the most important basic service, especially a secure water supply and access to clean, running tap water (Coetzee & Du Toit, 2011b:82 (Appendix)). However, rural communities throughout the southern hemisphere often suffer from water scarcity, droughts and a lack of clean water sources for sanitation, drinking and cooking (Barefoot College, 2012). Nutritional and health status is directly linked to water, although in the rural areas of most countries “water for health” is a concept not as easily understandable as “water for food” (Nel & Hill, 2000:164). However, an integrated approach which considers water “as a whole” should be the entry point in this approach, which should help to change attitudes towards the need for water.

To determine the best approach towards sustainable community-based water sources in predominantly rural areas, the guiding principles of the Barefoot College in India are advised, namely the decentralization of water sources, the replenishment of water tables, the participation of rural communities in implementation, reduced dependency on external aid and the fair treatment of women and children, who are the worst affected by water problems like poor hygiene and accessibility (Barefoot College, 2012). An essential part of the village IDP should therefore be an integrated, holistic approach towards water use, as advocated by Sustainable Sanitation and Water Management (Bruni, 2012). This approach could consider the following practices: the drip-irrigation model in agriculture to optimise water use (Figure 10-4); rainwater harvesting (RWH) tanks; dams; solar powered Reverse Osmosis (R/O) water desalination plants; and wells and ponds for groundwater recharge. In addition, health and nutritional education programmes should be inseparable components of water and sanitation activities (Nel & Hill, 2000:164).

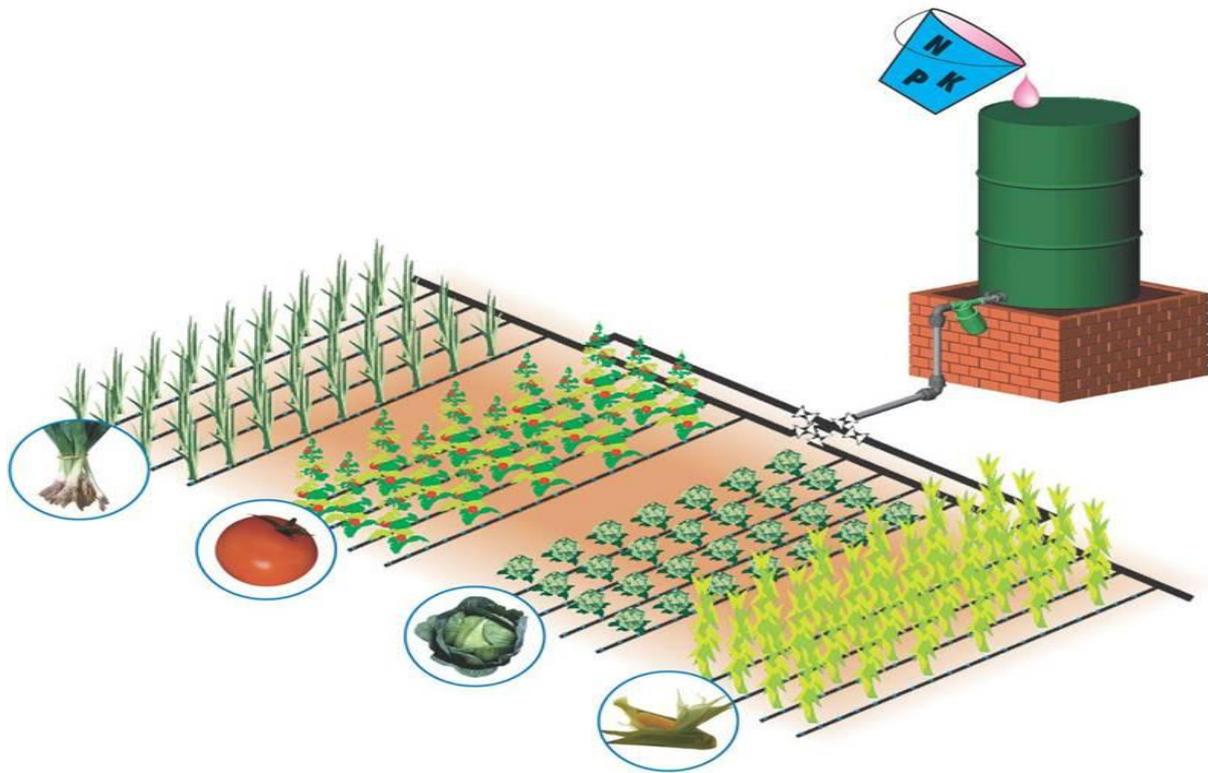


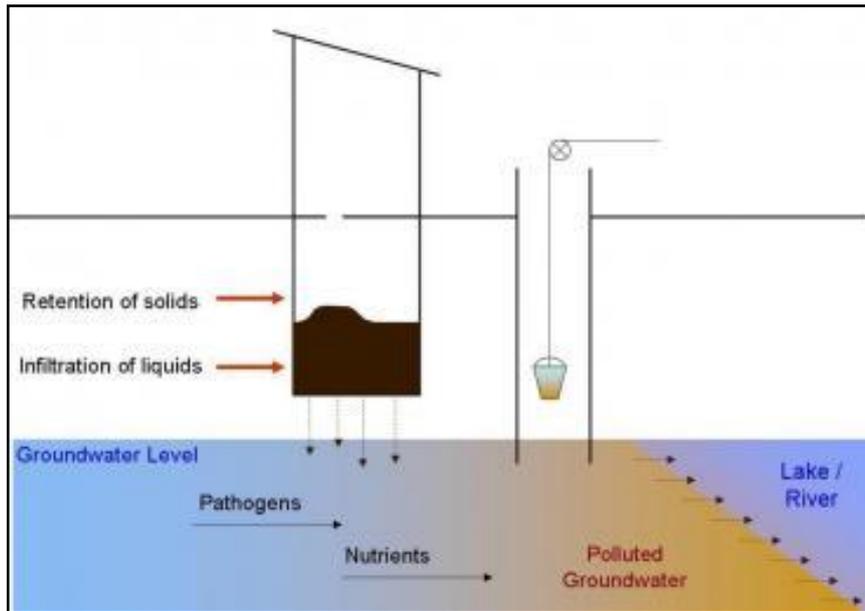
Figure 10-4: Drip irrigation model

Source: BPF (2011).

10.2.1.2 Sanitation

Current conventional forms of wastewater management and sanitation in South Africa either fall under the category of typical waterborne systems, or that of dry (pit) systems. This approach is based on two erroneous assumptions: one, that sewerage is waste and two, that the environment can safely assimilate waste treated in the conventional manners mentioned. However, according to Seymour & Sutherland (2003:236), the flush toilet is a remarkably expensive way of polluting fresh drinking water, while at the same time wasting the very nutrients that are essential to maintaining fertility in the soil! In addition, pit systems can also lead to pathogens infiltrating water sources, which in turn lead to a high prevalence of waterborne diseases such as cholera and dysentery. Lloyd Alter, Adjunct Professor teaching sustainable design at Ryerson University School of Interior Design, contends that in order to protect water resources, it is necessary to manage all wastes and not keep flushing some of them down a pipe (2007). In Figure 10-5, the negative implications of conventional sanitation are illustrated.

Pit latrines



Conventional waterborne sanitation systems

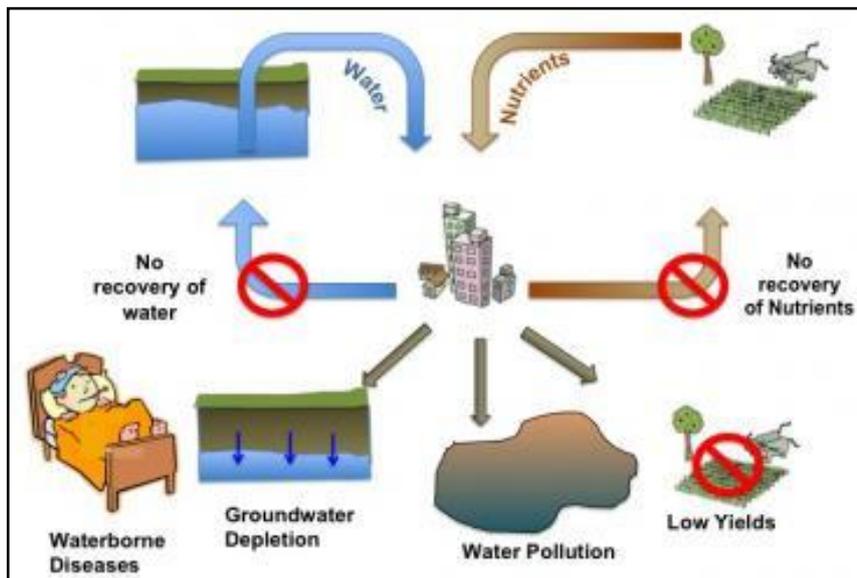


Figure 10-5: Negative impact of conventional sanitation approaches

Source: Bruni (2012).

In contrast, a sustainable rural livelihood approach sees “sewage treatment” rather as an opportunity to treat the so-called “waste” at the source and convert it into a reusable resource for watering and assisting in methane-gas-production. This sustainable sanitation approach is loop-based, which differs fundamentally from the current linear concepts of wastewater management, and includes not only technological but also social, environmental and economic

aspects. This view is based on the fact that wastewater and excreta contain a significant amount of energy, plant nutrients and also water that can be recycled and reused, thus protecting natural resources (Bruni, 2012).

There are at present many alternative ways in which to address sustainable sanitation, all with less impact on the environment than the currently accepted manner in which sanitation is dealt with. Note, however, that there is no “one-size-fits-all” approach; rather, the most adequate solution has to be found for each community, considering climate and water availability, agricultural practices, socio-cultural preferences, affordability, safety, and technical prerequisites. One option is that of a conventional system combined with a constructed wetland, treating the wastewater at the source and converting it into a usable resource. An example of such a system is the Biolytix filter, which was invented in Australia in an applied research programme that was conducted from 1990 until 1994 and used in a particular aerobic process (Biolytix Southern Africa, 2011:3). It is a highly efficient filtration system from a natural self-sustaining filter bed with almost no odour, saving potable water for use in crop production. An added advantage is that members from the community can be trained in the upkeep of the system, which would assist in job-creation as well as maintaining the sustainable livelihoods approach.

Another approach is that of the IPIT, an integrated sanitation system combining existing infrastructures with innovative sanitation concepts and technologies, that was developed and adapted to the Mongolian context (World Health Organisation Collaborating Centre (WHOCC), 2012). This participatory sanitation planning approach was followed in a case study described in a newsletter of WHOCC, where the needs and demands of the local population and other relevant stakeholders were determined. The project team then developed an innovative type of separation dry toilet, which has been registered under the trademark iPIT®. Faeces and urine are collected in two separate containers. A local service company regularly exchanges the containers, transports them to the city’s central waste water treatment plant and provides maintenance services, thus enhancing the users’ convenience and resulting in very high levels of acceptance among the local population. To increase the sustainability of the system, a biogas plant is envisioned for the future, where the human excreta will be used in combined treatment with excess sludge from the existing conventional wastewater treatment.

A third option is that of composting toilets for each home. Composting toilets use aerobic decomposition to slowly break down both urine and faeces into stable compounds. As urine moves by gravity to the lowest point of the composting unit, bacterial action causes a chemical transformation that converts the chemically unstable components of urine (urea and ammonia) into a liquid end-product containing nitrite and nitrate. This liquid end-product is biologically and chemically stable and contains nutrients which are valuable for fertilizer. The separation of the

urine from the faeces ensures that the faeces remain in an aerobic environment which includes bacteria, fungi, insects and compost worms. The organisms slowly break down the faeces into a compost material that has chemical, biological and aesthetic characteristics similar to topsoil, and reduces its volume by over 90%. Potential human pathogens are either killed by predatory organisms or by the long retention time in the system. The composting unit is buried and serves as the foundation for the light-weight, toilet room structure. A solar-design system can be used to power the fan. An example of a composting toilet is demonstrated in Figure 10-6 :

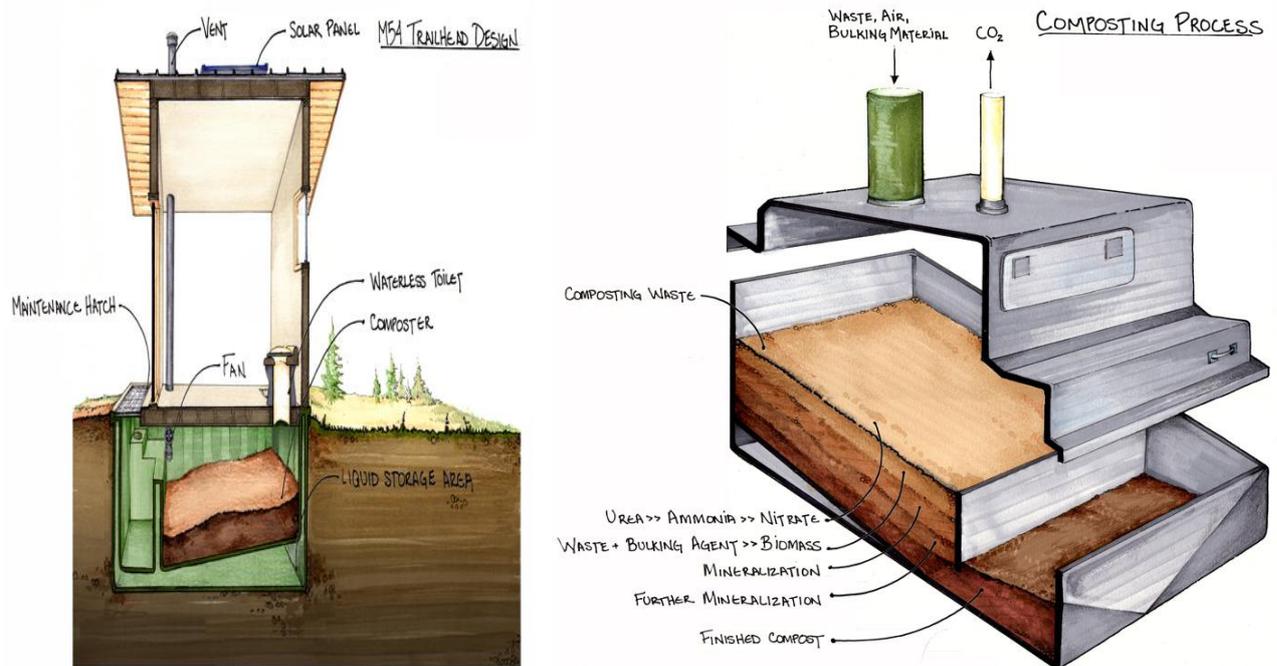


Figure 10-6: Composting toilet

Source: Clivusmultrum (2010).

A fourth option, combining waste treatment and energy provision, is that of a specially designed and strategically sited low-cost biogas plant, such as the one described by Henry Gale (2008:233). The source material for the anaerobic digester at its heart would be green agriculture and kitchen wastes (the most methane-gas-productive fuel), fed through a shredder cylinder into the semi- underground tank (which would be insulated to at least 400millimetre thickness). In addition, manure and sewage could be added to the system. The output (mostly methane and carbon dioxide) would continuously feed and power a large gas or converted petrol engine linked to an electricity generator. A further outlet would feed a delta to distribute slurry over lift-out perforated alloy trays above a graded filter bed, so supplying good-quality food garden compost. This plant would thus complete the cycle of waste conversion to provide energy to fertilizer.

A South African example of biogas energy generation is that of the Myeka High School Biogas Programme in KwaZulu Natal (Batschari, 2002:71). The purpose of the project is to generate electricity and thermal energy using gas generated from the anaerobic digestion of human excrement. At the same time it provides a sanitation solution as well as fertiliser to be used in the community.

Whichever system is chosen by the community as its sanitation option, there are five main criteria it has to comply with: reliability, acceptability, appropriateness, affordability and sustainability (South Africa. Department of Human Settlements, 2012:48). In particular, the infrastructure has to provide a sanitation facility which is safe, reliable, private, protected from the weather and ventilated, keeps smells to the minimum, is easy to keep clean, minimises the risk of the spread of sanitation-related diseases by facilitating the appropriate control of disease-carrying flies and pests, and enables the safe and appropriate treatment and/or removal of human waste and wastewater in an environmentally sound manner.

It must also be emphasised again, especially with regard to the provision of sanitation services, that it must be addressed in a manner that considers matters such as societal issues (underlying values and assumptions of community member), different world views of stakeholders, consideration of indigenous knowledge and practice, systemic framework for the incorporation of sustainable technologies (including implementation and monitoring) (Bonnet & Andrew, 2003:149-150).

10.2.1.3 Energy

Of special concern in Africa (including South Africa) is the lack of access to modern energy services, which lack deprives a significant percentage of the population of lights in the evening, healthy cooking equipment, access to modern communications, adequate education and health facilities. While governments can help large utilities through effective policies and incentives, grid extension in rural areas is often not cost effective. Only 40% of the new energy provision required for universal access is likely to be by grid extension. The remaining 60% of the energy needs of rural communities can be met more effectively by small stand-alone renewable technologies (GVEP International, 2011), such as biogas (methane) production; providing energy for heating, electricity, even transport. This approach is supported in the NDP (2012: 204), which states that it is more cost effective to provide electricity to facilities and households in dispersed rural settlements through off-grid and mini-grid renewable energy than it is to connect them to the national grid.

To provide sufficient energy for the needs of a village as well as to subscribe to the precepts of sustainable and resilient energy provision, preferably a combination of the following renewable and sustainable energy sources should be considered:

- Solar energy: solar panels (solar photovoltaic technology), active solar-thermal applications (flat-plate solar collectors and concentrating collectors) and passive solar thermal applications (building insulation & solar water heaters);
- Wind energy (wind turbines); and
- Bio-energy: biomass (including sustainable production of fuel wood), alcohol, biodiesel and biogas (methane and hydrogen).

The Barefoot College in India has illustrated that solar electrification solutions can be fabricated, installed, used, repaired and maintained by both illiterate and semi-illiterate men and women in rural areas through sharing basic knowledge and hands-on practical training (Barefoot College, 2012). In this way, in addition to light, hot water and electricity, use of the technology would also help to create employment, increase the income of the poor, reduce the cutting of trees (for fuel) and, most importantly, provide self-reliant solutions within village communities.

10.2.2 Food security

Food security is one of the key issues when planning for sustainable rural livelihoods and self-reliance. The DRDLR (2013b:47) underscores the importance of establishing food gardens as an important contributor to food security, improvement of self-image and household income, citing examples in Devon, Dysselsdorp and Msinga. Again, however, it is necessary to treat this aspect in a holistic manner, for instance considering the availability of water resources (critical to the success of food gardens) and the provision of infrastructure such as fencing.

The most commonly used definition of food security (including by the NDP, 2012: 230) is one that has been developed at the World Food Summit of 1996. According to this definition food security is “a situation when all people, at all times, have physical, social and economic access to sufficient, safe and nutritious food to meet their dietary needs and food preferences for an active and healthy life”. Novib (2001:8) provides a deconstruction of the definition which clarifies it, as illustrated in Figure 10-7:

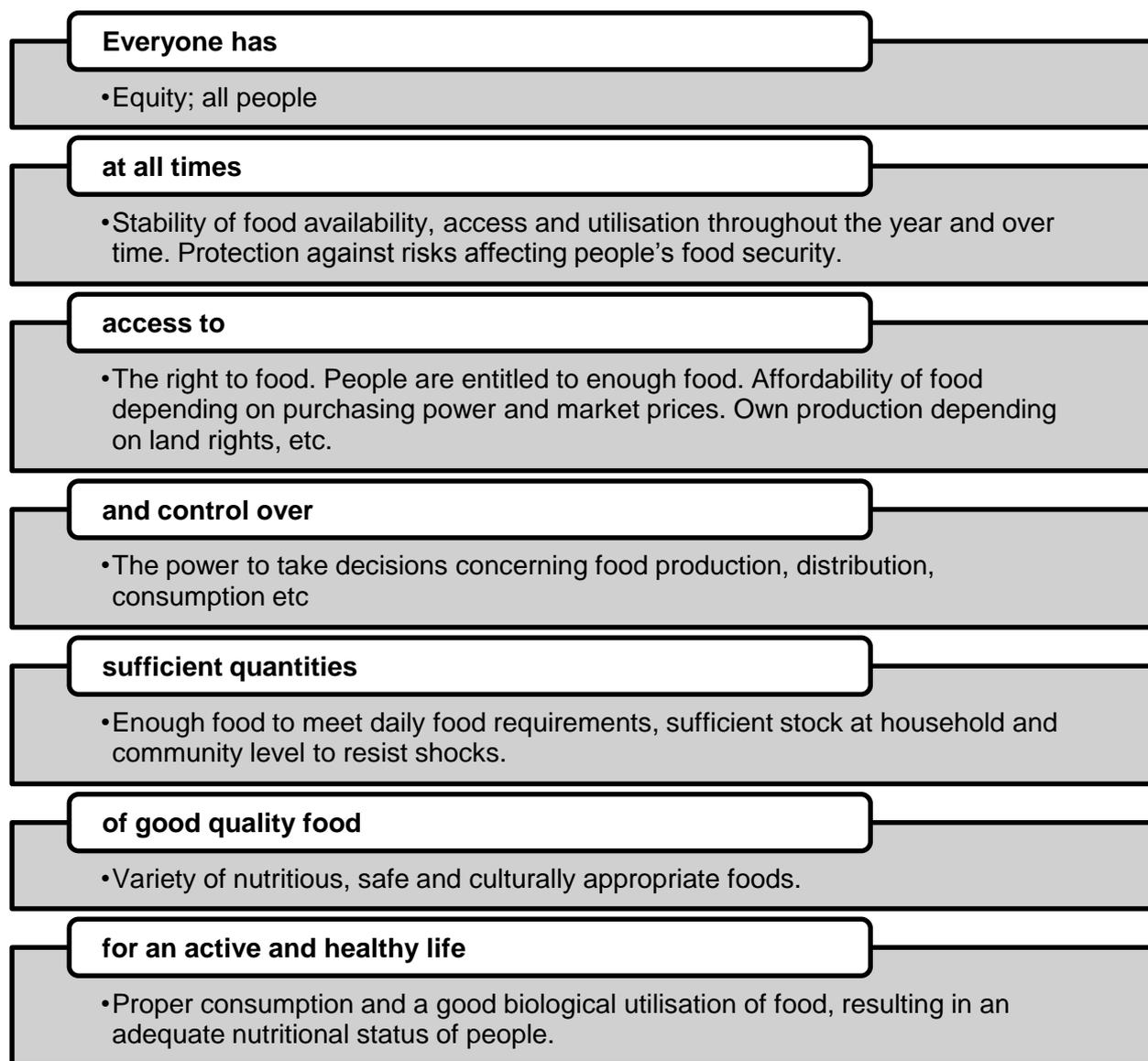


Figure 10-7: Definition of food security and its aspects

Source: Novib (2001).

The approach represented in this paradigm is that food insecurity in predominantly rural areas should be addressed through homestead and self-reliant farming, producing food for household consumption. Work done by CARE International in Lesotho on the Livelihoods Recovery through Agriculture Programme (LRAP) has demonstrated that there can be a dramatic reduction in food insecurity at the household level by supporting food production for household consumption (Drimie, 2006). Another instance of this approach is the Backpack Farm initiative, originating in Kenya. It focuses on enhancing small landholder farmers' production models with improved agricultural inputs, training and monitoring. In addition, it places the emphasis on increasing the income of women in particular, who produce 80% of the food reserves in East Africa (Backpack Farm (BPF), 2011). The value of this approach becomes even more significant when considering that in a country such as Zimbabwe, where land reform has been

unproductive, small-scale farmers contribute almost all of the national reserve annually to the Grain Marketing Board (Rusere, 2013).

The best approach towards efficient food-production in homestead and self-reliant arming is that of permaculture: landscaping designed to mimic nature and to provide the community with food, fibre and fuel. Permaculture (permanent agriculture) is a concept that has its origin in the writings of Bill Mollison (1998). It is the conscious design and maintenance of agriculturally productive ecosystems which have the diversity, stability and resilience of natural ecosystems. The basic principles on which this approach is predicated, are as follows: planting a well-balanced mixture of assorted perennials (such as fruit and nut trees, bushes, herbs and vegetables), making one's own compost from green waste obtained in the village and food garden, using waste water from houses and development for irrigation and harvesting seeds for replanting. Provision is also often made for the inclusion of livestock in the permaculture design.

10.2.3 Housing

Perhaps most concretely, a community manifests its values through its physical design (Assadourian, 2008:152). This is graphically illustrated in South Africa, where traditional dwellings dominate the landscape of many rural areas with communal land tenure (Department of Human Settlements, 2009:3). Traditional dwellings are even often preferred in communal tenure areas over "RDP" type housing.

The primary purpose of housing is to provide safe shelter. However, it is also possible to promote sustainable rural livelihood development in the supply of housing structures. This would entail the enabling of community members to take part in self-build projects (empowerment), either to provide new and affordable homes or to upgrade existing structures to fulfil the needs of the inhabitants while simultaneously pursuing sustainable design principles. In essence this requires that the impact of a building on the environment should be minimal over the lifetime of that building. Some of the particular features of this approach proposed by Gale (2008:233) include energy and resource efficiency, practical applications of waste reduction and pollution prevention, good indoor air quality and natural light to promote occupant health and productivity.

10.2.4 Waste

Adopting the principles that there is no such thing as "waste" and that community-based recycling is the norm (Myllylä & Kuvaja, 2005:226), is the preferred option for sustainable rural livelihood development. This would address the both the aesthetic problem of litter as well as

decreasing health risks in communities (Coetzee & Du Toit, 2011b:82 (Appendix)). The other basic principles stated previously should also be applied, namely those of:

- Processing the organic waste produced on site (i.e. composting, biogas etc.);
- Rendering harmless any initially toxic waste from the village;
- Recycling all solid waste from the village; and
- Minimising or avoiding adverse environmental impacts of any products brought into the village from other areas.

10.2.5 Transport & ICT (Information and Communication Technology)

Hodder and Lee (1974:14) state that transport networks (as well as information and communication technology) are the physical expressions of integration within and between different areas and economies, while simultaneously causing and producing the interchange generated by this integration. Often, however, there is a lack of a meaningful level of rural access and mobility (NDP, 2012: 188). The detrimental impact of the deficiency in rural transport, as well as information and communication technology, is usually caused by inadequate infrastructure, high information and service cost and shallow markets. Therefore, as Kappel (2004:71) states, any public policy that contributes to a reduction of these costs can assist communities in predominantly rural areas to alleviate their poverty and strive for sustainable livelihoods.

The focus in sustainable transport in predominantly rural areas should be on increasing public transport accessibility and decreasing the dependence on individual car transportation (Gale, 2008:233). This is precisely the approach of the Rural Transport Strategy for South Africa (RTS) (2007). The aim of this strategy is to provide strategic guidance to all the spheres of government with respect to the mobility and access challenges of South African rural communities. It aims at developing a balanced and sustainable rural transport system by supporting local infrastructure and services. The emphasis is on improving access roads, developing passable roads, and addressing neglected infrastructure and corridors, which are linked to markets and other social services. In addition the strategy seeks to strengthen the public and private transport system by complementing it with alternative modes of transport such as cycling and animal-drawn carts and intermediate means of transport (IMT). This approach is also advocated by DRDLR in the CRDP (2013b:88). An example stated in the strategy is that of the Shova Kalula bicycle projects, that have proved to be a viable alternative for a low-cost mobility solution, benefitting school pupils and low-income households in both

urban and peri-urban areas. Also, animal-drawn transport is gaining recognition and needs to be adapted according to new technological designs.

The provision of information and communication technology used to be inextricably linked with the provision of transport infrastructure (Lynch, 2005:153). Historically, communication depended on transport infrastructures for their delivery, but with the advent of wireless communication, this dependency ceased (Fard, 2013:54). Communications networks expanded beyond that of transport networks and, most crucially, increased the access to information: information about health, environmental management and markets, facilitating the development of democracy and providing resources for education (Lynch, 2005:146). In addition, recent developments provide the opportunity to utilise e-type services in the delivery of certain services in South Africa (Coetzee & Du Toit, 2011b:54-55).

There are still many instances where transport and communication networks are interdependent, as in the case of optimising economic opportunities, particularly in predominantly rural areas. The increase of agricultural yields through improved cultivation and animal husbandry practices enables rural communities to sell surpluses, which will necessitate the linkage of small-scale farmers to markets in South Africa. This needs not only transportation networks to physically distribute the products, but also communications networks to determine where and when to distribute these products to the best advantage of the community. These needs are recognised by the NDP (2012:224), which proposes to address this matter through improved road and rail infrastructure, as well as improved communications infrastructure.

The provision of ICT also provides the opportunity to specifically address the needs of women in rural communities. Lynch (2005:128) states that often, the information needs and access of women in poor settlements often restricted and ignored. It may be ascribed to their position within society, high rate of illiteracy, the difference in need from those of men and lack of authority. In sustainable rural livelihood development, the topics of interest to women should be prioritised in ICT provision, such as livestock rearing, family support (family planning, health, nutrition and health), creating income from local raw materials, and training in basic skills (Mardani, et al., 2011:2977).

In spite of the integral part that transport and ICT has in the development of rural areas, there is still a dearth in the provision thereof (Coetzee & Du Toit, 2011b:83 (Appendix)). This seriously impedes the success of sustainable rural livelihood development, as well as the provision of social services such as dispersing pensions, social grants, government documents such as birth certificates, etc. At the same time it provides an excellent opportunity for communities to take stock of their transport assets, leveraging their networks for transport purposes, as well as utilise the opportunity to establish small-scale ICT businesses.

10.2.6 Education

When considering basic education in village life, it is important to differentiate between the “literacy” acquired at school and the “education” gained from family, community, environment and personal experience. While the full attendance to primary schools for both boys and girls, as well as the elimination of gender disparity in schools should be a priority (Millenium Promise, 2006), the “education” to be gained from village interaction should not be neglected.

The ethos of basic education in the village integrated development plan should be that the knowledge, skills and wisdom found in the village should be used for its development before getting skills from outside. For instance, traditional rural knowledge and skills can be used to build homes, collect rain water where potable water sources are scarce, and produce crops suitable for the local climate. One of the proponents of this approach is Professor Rukuni, former Dean of Agriculture at the University of Zimbabwe, who believes that learning and education can be re-introduced as a way of life for families and communities outside the formal education system in Africa, and can cover all aspects of life, including life skills, business and leadership (2013).

An excellent example of how this approach has been put into practice is that of the Barefoot College in India, established in 1972, which combines traditional knowledge (barefoot) and demystified modern skills in order to make villages self-sufficient (2012). The array of programmes that is provided by the college to help create viable livelihoods in rural communities include solar, water, education, health care, crafts, people’s action and communication. The curriculum of the college is based upon the development of skill sets that support sustainable rural living, as well as increasing the literacy of the rural community. It also focuses on using members of the rural community to plan, manage and implement the initiatives and programmes of the college, especially women.

10.2.7 Economic development

The purpose of local economic development is to enable a community to produce its vital necessities using local resources, so that the locus of control in external relationships lies rather with the community than with outside forces. The Rural Development Initiatives (RDI) (2014) state that communities are most successful in creating economic vitality when they focus their efforts on resources already available to them, rather than trying to access resources outside the community. This is also the approach advocated by the Barefoot College, namely that villages (communities) must be made self-sufficient so that they are not dependent on outside or urban sources for development and employment (2012). More specifically, Barefoot College encourages the development of rural communities and the improvement of their quality of life

through the provision of basic services and sustainable solutions by the members of the poor and unemployed rural communities themselves, through a combination of demystified technologies and traditional knowledge and skills. In addition to focusing on local skills and resources to develop local economies, a crucial component to sustainable economic development is the necessity of the diversification of local economic capital, skills and experience (Resilience Research Centre, 2014; Curtis, 2003:95).

To ensure that a village is truly self-reliant (as well as sustainable) it requires significant economic activity in the village, as well as integrated food-production. The important issues at stake here are: efficient food production; distinguishing between individual and communal ownership, particularly of land and buildings; economic and ecological efficiency (economic activities should not depend on the exploitation of people or places, either locally or further afield); the most appropriate forms of business organisation for village-associated businesses; and the provision of useful alternatives and/or supplements to the money economy for facilitating economic exchange within and between self-reliant villages.

The key economic sector in the predominantly rural areas of Africa (and South Africa) is that of agriculture (United Nations Human Settlements Programme (UN-Habitat), 2014:33). Subsistence farming on small land parcels partially provides for the daily consumption needs of rural dwellers. For those without land in the predominantly rural areas, agricultural wage labour is their primary source of income. Leveraging agriculture as an economic development sector, according to the NDP (2012: 204) should therefore equally promote access to land and social equity and recognise the important economic role of subsistence agriculture in some rural communities.

In terms of subsistence farming, the best approach to for sustainable rural livelihood development is to support and develop homestead and self-reliant farming. This is concurrent with the approach of the NDP (2012: 99), which advocates for the development of resilient and environmentally sustainable strategies and support services for small-scale and rural farmers, ensuring the protection of rural livelihoods. The principal benefits thereof are twofold. Firstly, it helps to insulate households against food insecurity through the production of their own food using land, water, physical and human resources. Secondly, in the context of high structural unemployment in much of Africa, food production for household consumption takes on added significance because the possibilities of secure, reasonably-paid employment are slim for a large percentage of the population.

With respect to agriculture as an economic sector to be developed in predominantly rural areas, it can be considered as one of the most prominent needs as well as an opportunity (Coetzee & Du Toit, 2011b:48 (Appendix)). Agricultural-related development needs refer to basic

agricultural resources necessary for farming (land, seeds, fertilizer, etc.) as well as aspects like mentoring (assistance/support). If managed correctly, it can assist in a community's development as a whole by providing economic growth, poverty reduction and food security. The DRDLR (2013b:48) states that government does not have the capacity and oftentimes not the technical knowledge required to support rural livelihood development. They propose greater investment in agricultural research and development with strategic partners to address alternative technologies suitable to different geographical regions for smallholders. This, of course, supports research institutions such as tertiary education establishments as CDIs for sustainable rural livelihood development.

While the promotion of economic and ecological efficiency, as well as the differentiation between individual and communal ownership, are relatively straightforward, it is necessary to clarify the significance of appropriate business approaches that could be applied in sustainable rural livelihood development. Formal economic approaches in rural livelihood development encompass two aspects, namely the creation of job opportunities (local industries, possibilities for self-employment & entrepreneurship, marketing of locally manufactured products) and basic business skills training and information regarding job and career opportunities (Coetzee & Du Toit, 2011b:55 (Appendix)). In this regard, it is necessary to understand that rural households are (potentially) 'multi-product enterprises', producing and consuming a variety of agricultural and non-agricultural commodities and services, for themselves and the market (Kappel, 2004:69). In order to support sustainable local economic development of village communities in rural and predominantly rural areas, it is necessary to create networks that support micro-business development and local entrepreneurs, as well giving preference to local businesses (Rural Development Initiatives, 2014). Furthermore, establishing, retaining and growing local business should increase local economic development. An example of a successful model in this regard, is the Boma project in Kenya, which focus on the following principles:

- Providing training in economics (i.e. availability of supply and demand, profit and pricing, record keeping, marketing, savings)
- The necessity of village elders, community leaders and government officials to attend training and encourage success of the participants.
- Following training, business groups may apply for a seed capital grant which the participants convert to business assets (disbursement taking place in public setting and tracking by a strict system of receipts).
- After three/six months and demonstrable progress, further grants to encourage business operation.

A vital component of financial literacy should be to not only focus on the acquisition of credit, but also micro-savings training (record keeping, planning for future expenses, assessing loan requests). It is important however, that the controls of these schemes remain in the rural area with the communities to avoid transfers in favour of the already more solvent urban economies (Lynch, 2005:177). Traditional institutions and resources such as burial societies and “stokvels” have the potential to be leveraged as sources of credit for entrepreneurs within communities (GNU, 1995). While burial societies and “stokvels” basically serve as a “savings” account, its mandate could be expanded to also use it as a source of credit, as per the Boma model, with established guidelines and lending rules. Furthermore, similar savings clubs and cooperatives could be established to promote economic development, wealth creation and the productive use of assets (CRDP, 2009).

The provision of useful alternatives and/or supplements to the money economy so as to facilitate economic exchange within and between self-reliant villages can be referred to as the “social economy” (Curtis, 2003:86). This “social economy” constitutes elements such as collectives and cooperatives, buying clubs, community enterprises, not-for-profits, barter and skills exchanges, mutual aid, volunteer activity, and what is variously termed the informal sector or the underground economy. When considering that the greatest portion of the poorest of the poor in developing countries are involved in economic activities outside the formal economy i.e. “social economy” (Kappel, 2004:69), economic growth should be measured in the transformation of social structures.

Ensuring that communities in predominantly rural areas are supported in sustainable local economic development, the following elements (as discussed above) are necessary, illustrated in Figure 10-8:

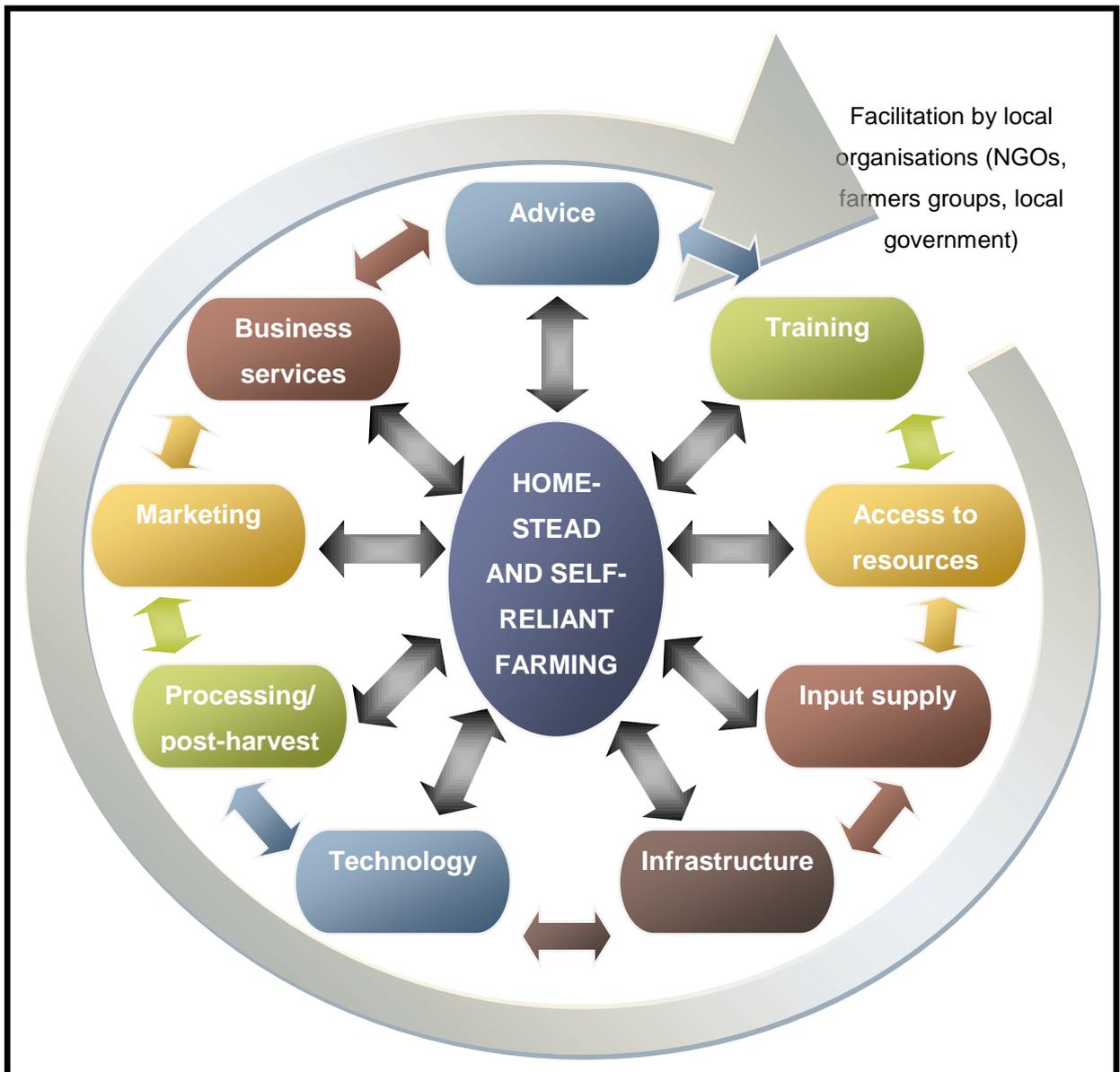


Figure 10-8: Supporting homestead and self-reliant farming

Source: Own construction (2015).

10.2.8 Health & social services

As a measure of the provision of social facilities to South African residents, the CSIR Guidelines for the Provision of Social Facilities in South African Settlements (2012:50-51) is cited. These guidelines provide a summary of all access and threshold standards that have been tested and/or discussed with stakeholders over a number of years. The information used in the guidelines is based on several studies funded by the CSIR and two local authorities (eThekweni and Cape Town), together with provincial and national level studies. According to these guidelines, remote villages (such as villages located in predominantly rural areas and ranging in

size from 500 to 5000 residents) should be provided with the following social services (Table 10-3):

Table 10-3: Social facilities required for remote villages

FACILITIES	Average threshold population	Acceptable travel distance (km)	Provision criteria	COMMENTS
HEALTH AND EMERGENCY SERVICES				
Primary Health Clinic	5 000 - 7 000	90% of population served within 5 km radius	C/D	May be limited to certain days of the week (Ref.: NDoH Strategic Planning Cluster, March 2006 (updated Nov 2009) Service Transformation Plan Framework – Outline of the Service Transformation Plans for 2010-2025)
Mobile/Periodic Health Clinic	Variable	Variable	D	Fixed service preferred to a mobile service; limited days per week
Police station	Subject to SAPS work study and requirements of the area		D	
SAPS Contact Point	Variable	24 km	C (if no SAPS station)	SAPS Contact Points for use in areas not warranting a fully-fledged station but which are beyond the distance criteria for a fully-fledged police station
Fire bakkie pump deployment point	Variable	Variable	D	If no conventional fire-fighting service within reach (20 minutes)
SOCIAL AND CULTURAL (PUBLIC SERVICE FACILITIES)				
Museum - small	Variable	Variable	D	Site-specific demand
Mobile/Periodic Library	Variable	Variable	D	Needs-based for isolated or special categories; may be linked to schools in the area
CIVIC				
Mobile/Periodic Home Affairs Office	Variable	20 km - 25 km Variable	D	Mobile and periodic services. Government is advocating a single mobile service for all departments but this not yet achieved
Mobile/eGov Integrated Service	2 000	5 km if more than 2 000 people within catchment/ alternatively 25 km	C	
Labour Office	Variable	25 km Urban; 35 km - 50 km Rural; 100 km Sparse	C	May form part of above
Solid Waste Disposal Site and Recycling Depot	n/a	Variable	C	Unless clear guidelines for individual disposal are agreed upon
SOCIAL SERVICES				
ICT access point	5 000 – 10 000	At centre point	C	Located within schools or at central service point
Post Office/Agency with post boxes	Variable	Variable	D	Central location critical
Post boxes	Where access required	Variable	R	Only in isolated locations/can be provided in addition to a Post Office where there is no home postal delivery

FACILITIES	Average threshold population	Acceptable travel distance (km)	Provision criteria	COMMENTS
SASSA Office (Social Service Office)	5 000	40 km (up to 100 km in low-density areas, e.g. Northern Cape)	C	Local/Service offices may be at a fixed point or satellite or mobile services. Services are offered from fixed points on one or more days per week from infrastructure such as schools, Thusong Centres, community halls or one-stop development centres
Social Grant Pay Point	40 000	5 km	C	Multiple points within nodal area on fixed day in the month. Mobile may be used for special cases; if beneficiaries within 5 km of banks, Post Offices, Thusong Centres then these services should be used instead
Cemetery (very small)	0.25 ha/1 000	15 km	C	Provide if no alternative facility within 40 km; geographical studies required; assumes no reburials over 30 year period, an annual death rate of 1.6% and that 100% of the dead are buried
EDUCATIONAL SERVICES				
Secondary school	2 500	10 km	C	Threshold corresponds to recommended minimum school size of 200 learners; school sports fields can be combined with municipal provision
Primary school	1 000	10 km	C	Threshold corresponds to recommended minimum school size of 135 learners; school sports fields can be combined with municipal provision
Grade R Class at Primary School	1 000	2 km (preferred) – 5 km	D	Linked to Primary School
Small Crèche/Early Childhood Development Centre	Variable	Variable	D	
RECREATION PROVISION (SPORTS AND PARKS) [combination of sports facilities and parks should be promoted]				
Level surface playing field	Total provision for these facilities approx. 0.56 ha/1 000 people		C	Sharing of facilities between schools and the wider community recommended; preferably sited at or near schools
Single hard surface court			D	
Local/Neighbourhood Park (includes play equipment)	Total provision approx. 0.5 ha/1 000 people	Variable	D	
Play Equipment at other facilities	Variable	Variable	C	Provided only where no parks; placed at e.g. Health Clinics

Source: CSIR (2012:50-51).

Key:

C	Compulsory	basic essential service
D	Discretionary	non-essential provision based on under supply/unserved need, distance or other factors including funding availability
R	Recommended	valuable services that are unfunded or non-essential

In addition to the recommendations above, the CSIR advises that most facilities should be on public transport routes or nodes. Mobile and satellite services should be used only in isolated situations where there is no alternative and access times would prove excessive otherwise; there should ideally be a central point or structure which is shared by all mobile/periodic services (either at a private or government building). Also, alternative fire-fighting equipment should be deployed where widely spread, low-density development makes conventional services unsuitable.

The CSIR further recommends that where several remote villages fall within a distance catchment area that does not exceed the acceptable travel distance to a particular facility type, a larger facility is shared among these villages to increase operation and efficiency. The CSIR (2012:11) guidelines do not specifically make recommendations with regards to villages with fewer than 500 inhabitants, as they are considered a separate category and the provision of social services would mostly take place on a needs basis via mobile services.

Supplementary to the proposals of the CSIR, Coetzee and Du Toit (2011b:54-55) have some proposals that specifically relate to the provision of health and social services for communities in predominantly rural areas. First, they propose that communities be motivated and empowered to take charge of their own safety by starting community policing forums and introducing neighbourhood watches. Secondly, the provision of e-type services can potentially provide access to a multitude of services for communities in predominantly rural areas. Third, community clinics can possibly be managed by community members of the village itself, with training that enables them to examine and diagnose patients, disinfect wounds, replace bandages and dispense simple medicine, refer patients to district hospitals, do stocktaking of drugs and maintain accounts and compile notes with the names of patients with their respective diagnosis and treatment.

10.3 Phase 3: Implementation

Imperative to the survival of the communities for which the sustainable rural livelihood development paradigm is intended is the effective implementation of the village-based IDP or, stated differently, the continuous process of learning and adaptation, as well as ensuring that enabling frameworks (legal and otherwise) are in place. It is a process similar to that as described by Ling (2005:219) in a project promoting energy conservation, namely a combination of incentives, peer (community) recognition, peer (community) pressure, financial infrastructure, manpower (community) training, testing agencies, legislative support and technical institutions.

The necessity of the support of government in this process to create and sustain an enabling framework is reinforced by the viewpoint held by Intelligent Urbanism (Benninger, 2001:39),

namely that enterprise can flourish only where a public framework provides opportunities for such enterprise. This system of opportunities operates through public investments in economic and social infrastructure; through incentives in the form of appropriate finance, tax inducements, subsidized skill development for workers, and regulations which protect the environment, safety, hygiene and health. For this reason there is a key need for those involved in sustainable livelihoods (and by extension, sustainable rural livelihood development) both to continue to work towards realising the multiple project level outcomes that small-scale community projects can achieve, and to find ways of strategically demonstrating the cumulative, larger scale and longer term significance of national level support for local level activity (Walker, et al., 2007:64).

What is also imperative in achieving the desired outcome of sustainable rural livelihoods is to plan for an exit strategy for the support agencies (De Lange, et al., 2000:x). Typically, intensive efforts are necessary from a number of outside role-players in the early stages of a development, but in order to achieve sustainability, many of these inputs have to decrease gradually over time, eventually leaving the community with the skills and organisation necessary to continue operations and maintenance independently.

10.4 Supporting policy and legal framework

As discussed in chapter 7, the South African policy and legal framework provides an enabling environment and the development of sustainable rural livelihoods, as envisaged in the paradigm described in the previous section. Sustainable rural development with rural people at the centre of it has been a constant objective of the post-1994 South African government, evident in the following overarching policies and acts:

- Reconstruction and Development Programme (1994-1996);
- The Rural Development Strategy of the Government of National Unity (October 1995);
- Constitution (Act 108 of 1996);
- Development Facilitation Act (DFA) (Act 67 of 1995);
- The Rural Development Framework (1997);
- White Paper on Local Government (1998);
- Integrated Sustainable Rural Development Strategy (ISRDS) (2001);
- Breaking New Ground: Comprehensive Plan for the Development of Sustainable Human Settlements (BNG) (2004);
- War on Poverty Programme (2008);
- Comprehensive Rural Development Programme (CRDP) (2009);
- National Climate Change Response White Paper (2011);

- National Development Plan 2030 (2012) and Medium Term Strategic Framework (MTSF) (2014 to 2019);
- National Environmental Health Policy (2013);
- Rural Development Policy Framework (RDPF, 2013);
- Spatial Planning and Land Use Management Act (SPLUMA) (Act 16 of 2013) and Regulations (2015);
- Draft Integrated Urban Development Framework (2014);
- National Policy on Food and Nutrition Security for the Republic of South Africa (2014); and
- The International Guidelines on Urban and Territorial planning (IG-UTP), UN-Habitat (2015).

In support of this statement, the relevant acts and policies are set out in Table 10-4.

Table 10-4: Supporting policy and legal framework

Phase 1: Tenure
<ul style="list-style-type: none"> • Upgrading of Land Tenure Rights Act (Act 112 of 1991). • Less Formal Township Establishment Act (Act 113 of 1991). • Constitution (1996), Chapter 2, Bill of Rights, Section 26: government is responsible to provide people with housing and access to land. • Communal Property Associations Act (Act 29 of 1996). • Housing Act (Act 107 of 1997). • Breaking New Ground (BNG) (2004).
Tribe
<ul style="list-style-type: none"> • Constitution (1996), Chapter 2, Bill of Rights, Section 30 & 31: right to own culture, language, religion & cultural associations. • National Water Act, (NWA) (Act 36 of 1998): Section 91 to 98 - Water User Associations (WUAs). • National Heritage Resources Act (SAHRA) (Act 25 of 1999). • Traditional Leadership and Governance Framework Act (TLGFA) (Act 41 of 2003).
Training
<ul style="list-style-type: none"> • Constitution (1996), Chapter 2, Bill of Rights, Section 29: right to basic education (including adult basic education) and further education. • Municipal Systems Act (Act 32 of 2000): empowerment of the poor.
Phase 2: Sustainable development
<ul style="list-style-type: none"> • Conservation of Agricultural Resources Act (CARA)(Act 43 of 1983). • Constitution (1996), Chapter 2, Bill of Rights, Section 24: maintenance and protection of healthy and productive environment that is conducive to the well-being of present and future generations • Constitution (1996), Chapter 2, Bill of Rights, Section 27: right to health care services, enough food and water and social security. • Constitution (1996), Chapter 7, Section 151 and 153: Primary responsibility for planning of sustainable communities in municipalities at local government level. • Housing Act (Act 107 of 1997): the provision of sustainable housing. • Water Services Act, (WSA, Act 108 of 1997) and National Water Act, (NWA, Act 36 of 1998) • White Paper on Local Government (1998): support for integrated & sustainable local development; partnerships between local government and community-based organisations for service delivery. • Municipal Structures Act (Act 117 of 1998), Article 84, Section 1 (a) and Chapter 5: municipal government responsible for integrated development planning. • The Environment Conservation Act (Act 73 of 1989), National Environmental Management Act (NEMA) (Act 107 of 1998) together with Marine Living Resources Act (Act 18 of 1998), National Environment Management: Biodiversity Act (Act 10 of 2004), Air Quality Act (Act 39 of 2004), Waste Act (Act 59 of 2008), Integrated Coastal Management Act (Act 24 of 2008): sustainable development. • The Municipal Systems Act (Act 32 of 2000): advocates the overall social and economic strengthening of communities in concert with the local natural environment as well as the provision of access to essential services that are affordable to all. • Disaster Management Act (Act 57 of 2002): support for integrated & sustainable local development. • Traditional Leadership and Governance Framework Act (TLGFA) (Act 41 of 2003): partnership between traditional councils and all government spheres for service-delivery agreements. • Rural Transport Strategy for South Africa (RTS) (2007). • National Environmental Health Policy (2013). • SPLUMA, (Act 16 of 2013): supports spatial justice, sustainability, efficiency and resiliency in development planning; SDFs and LUMs that include provision for sustainable rural development. • National Policy on Food and Nutrition Security for the Republic of South Africa (2014).
Phase 3: Implementation and monitoring
<ul style="list-style-type: none"> • Constitution (1996), Chapter 7, Section 151 and 153: Primary responsibility for implementing sustainable development in municipalities at local government level

Source: Own construction (2015).

10.5 Summary

The establishment and support of self-reliant villages using the sustainable rural livelihood development approach detailed above can assist communities to survive and thrive, particularly marginalised communities such as those in poverty-stricken areas with a predominantly rural character. In addition, this approach would greatly improve the evolution of indigenous populations' traditional cultural ways into a more modern but culturally empathic society that harmonises with the non-indigenous ways of life. Central to this approach is the concerted efforts that must be applied to empower women in the predominantly rural areas to aid the sustainability of these villages. In Figure 10-9, a summary of the chapter is provided.

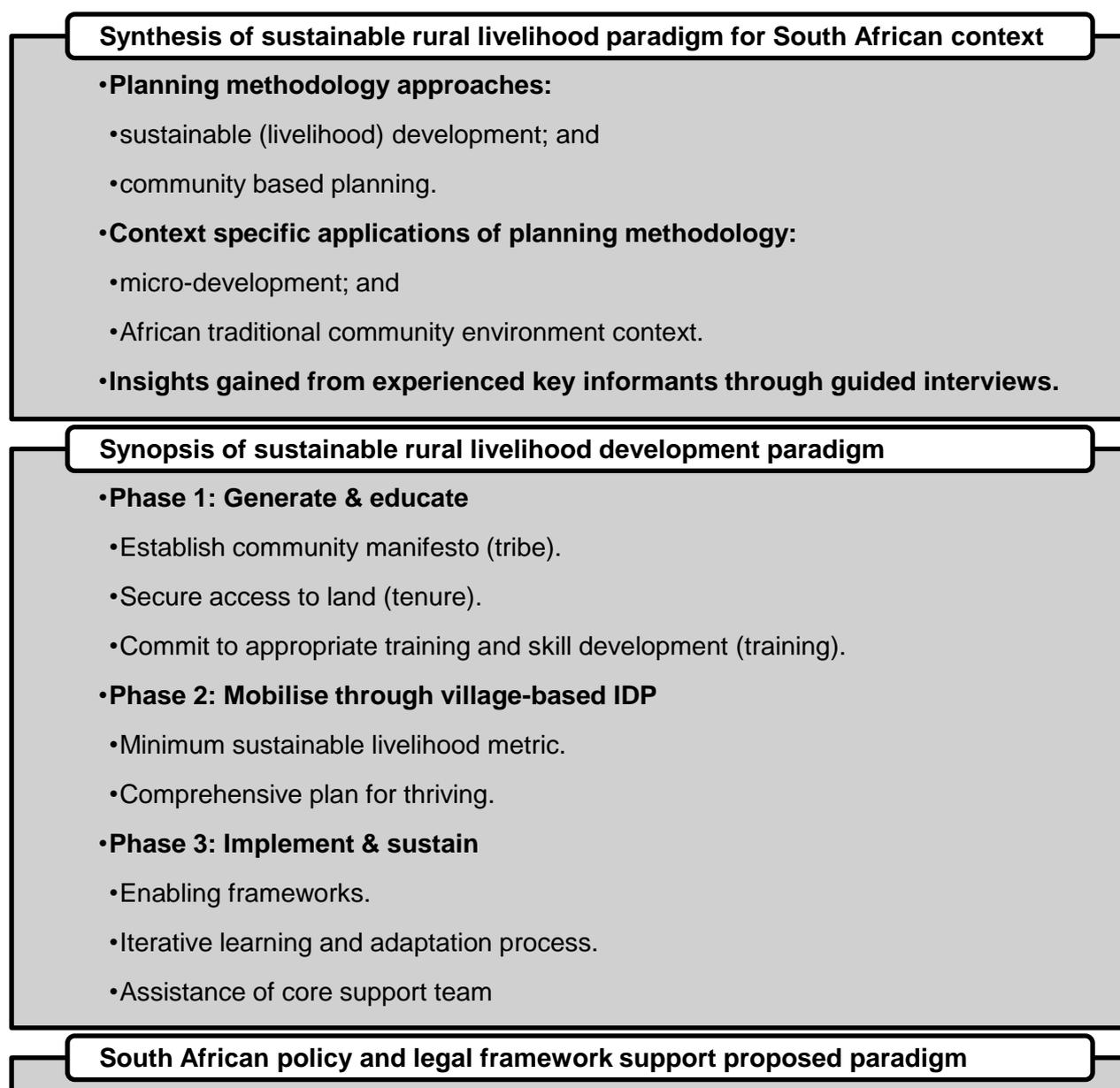


Figure 10-9: Summary of sustainable rural livelihood development paradigm

Source: Own construction (2015).

PART 5 CONCLUSIONS AND RECCOMENDATIONS

11 CONCLUSIONS

11.1 Main findings and conclusions

As stated in the beginning of this study, one of the most pressing and critical challenges that South Africa faces today is the development challenges that communities in predominantly rural areas experience, specifically the poorer and more vulnerable segments of the population. The difficulties that these communities face are numerous and despite the continuous efforts made by various institutions and organisations to address these challenges, the deprivation suffered by these communities seems greater than ever. The research conducted in this study has highlighted three particularly crucial concerns, namely that women are the grouping that suffer the most from the prevailing poverty and deprivation in rural areas (Chapter 4 and 5), that rural development approaches tend to have an urban bias (Chapter 3 and 6) and that developmental local government in rural areas are not able to fulfil its mandate (Chapter 7).

It has been repeatedly demonstrated that women bear the brunt of poverty in predominantly rural areas, as well as suffer the most from lack of access to resources. At the same time, however, there is a latent opportunity to empower women in rural areas, as older women tend to be drivers for development in rural communities. These circumstances need specific attention in rural livelihood development strategies to be able to fulfil the mandate of the policy and legal framework for rural development in South Africa.

The “urban bias” in development thinking, which relegates communities in the predominantly rural areas to the fringes of development strategy, cannot address the unique challenges that communities in these areas face. The predominantly rural areas of South Africa are not uniform in nature, displaying a range, as well as a different combination, of characteristics along an urban and rural continuum. Moreover, the South African rural landscape has the added difficulty of spatial distortions as a result of previous discriminatory practices and legislation. As such a planning approach that recognises this reality and adopts a differentiated approach to development in rural areas is necessary.

Although government’s policy and legal framework advocates developmental local government, the effect of expanding municipal boundaries to include under-serviced rural populations, has been to severely pressurise local authorities that already struggle to fulfil their service delivery mandates. Thus, local government continuously face protests regarding this matter and urgently need to explore alternative options to deliver much-needed services, in spite of their lack of capacity and resources.

To address these issues, the purpose of this study has been to determine whether a contextual understanding of sustainable rural livelihood development in South Africa (inclusive of a traditional community environment understanding), in conjunction with current community-based development planning approaches, can be used to inform planning considerations and proposals to support indigenous sustainable rural livelihood development in the predominantly rural areas of South Africa. This chapter examines the extent to which this research question has been answered and the research objectives have been achieved; the conclusions that may be drawn from the research conducted and recommendations that can be made with respect to the conclusions that have been reached.

For sustainable rural livelihood planning to be effective and responsive to South African circumstances, a thorough knowledge of the spatial dimension of predominantly rural areas, the relevant planning theories and methodologies as well as the supporting policy and legal framework, must be evaluated and understood. Consequently, the research objectives for the study were formulated as follows:

- *To contextualise the meaning of sustainable rural livelihood development and planning in the South African milieu.*
- *Understanding the contribution that the African traditional community environment has in augmenting an indigenous planning approach for sustainable rural livelihood development.*
- *To examine the relevance and applicability that community-based planning has for the development of sustainable rural livelihoods in the predominantly rural areas of South Africa.*
- *To determine the requirements of an indigenous approach to support sustainable rural livelihood development for predominantly rural areas in South Africa.*
- *To establish the policy and legal framework for the support of sustainable rural livelihood development in South Africa.*

As demonstrated in the preceding discussion, these objectives were achieved, as well as the hypothesis confirmed, namely that the concepts of sustainable development and community-based planning, augmented by the precepts of the traditional community environment and micro-development, can be used to support the formulation of pro-active and realistic sustainable rural livelihood development strategies (such as the paradigm presented in this research study). The precepts established from the research, which inform the conclusions and recommendations in the subsequent discussion, can be summarised as follows:

- **Central role of women in sustainable rural livelihood development:** women in predominantly rural areas, both as the most deprived grouping as well as most vigorous drivers of development, should form the crux sustainable rural livelihood development initiatives.
- **It is community-centred:** the community as a collective is essential in identifying and addressing its own livelihood priorities, resulting in amplifying their voice and increasing opportunities and well-being of their people.
- **It envisions self-reliant communities:** self-reliance is defined within the specific environmental, socio-political and economic context, identifying and instituting the measures for self-reliance and increasing self-reliance through an iterative process.
- **It is place-committed:** self-reliance is located in a particular space and time, and understanding the inherent context of interrelationships between the different aspects of a community is integral in any development strategy.
- **It values indigenous knowledge:** the development of self-reliant communities requires respect for human freedom and choice, including the value of indigenous knowledge, where communities can transform a shared vision into a combination of fellowship and collective entrepreneurship.
- **It is a holistic and long-term approach:** this approach requires long-term commitments, as well as a holistic and flexible approach towards support, in order to respond to changing circumstances.
- **Multilevel connections:** self-reliant communities can be achieved only by addressing the development thereof at multiple levels. Micro-level activity should inform the development of policy and an effective governance environment. Macro- and meso-level structures and processes should recognise micro realities and support people to build upon their own strengths. Top-down strategic action as well as bottom-up participatory processes are required.

Micro-development reflects the value of local context when defining sustainable development. It supports the promotion and consolidation of the taking of localised decisions to provide an implementable compromise between top-down policies and bottom-up social networks. However, while micro-development as part of a sustainable development approach is vigorously pursued internationally, an African-context specific micro-development approach has not yet been developed. This conclusion substantiates the necessity of studies of this nature, so that indigenous planning processes relevant to the African context can be developed.

In Figure 11-1, a graphic illustration of the main findings and results of the research is provided:

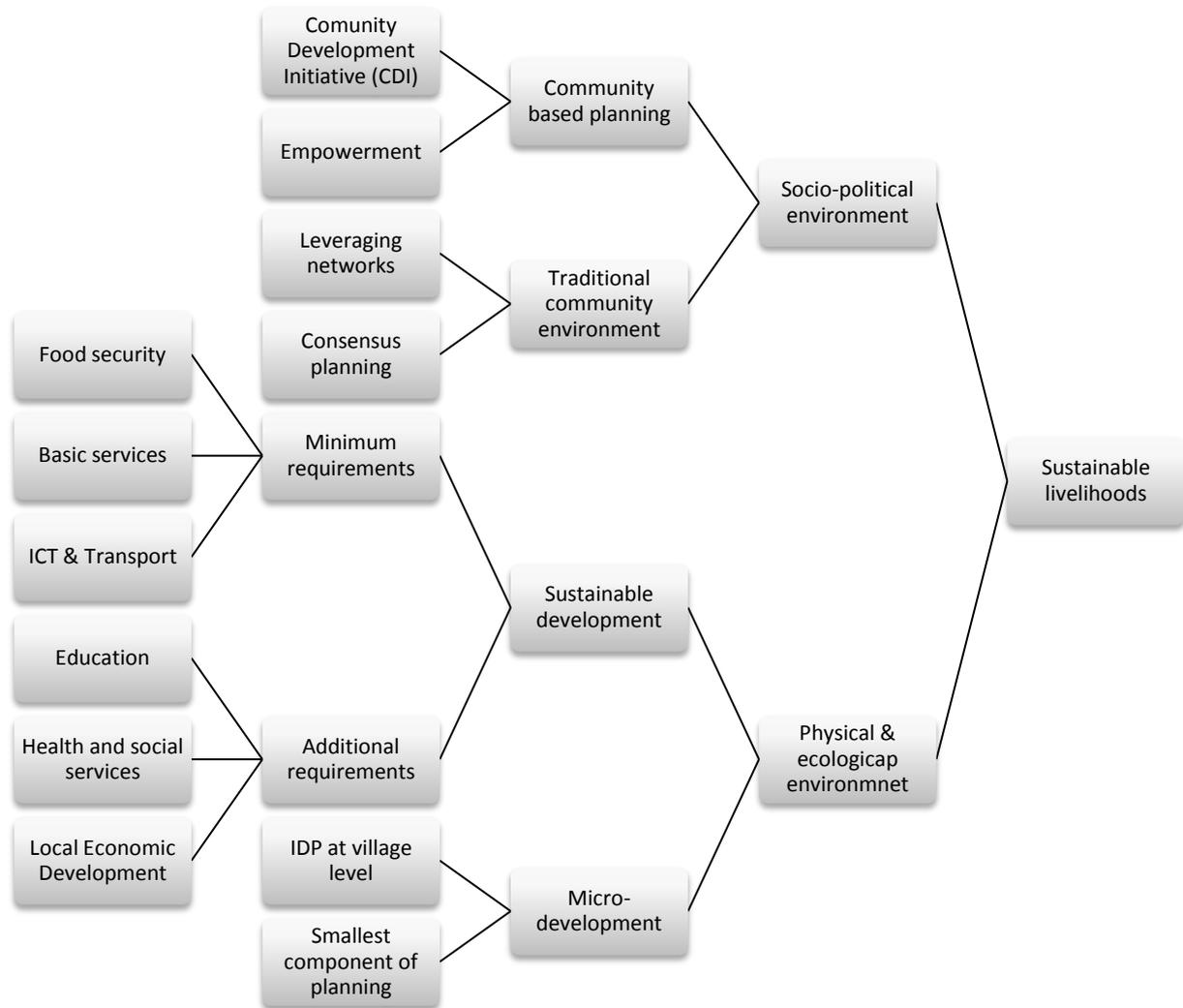


Figure 11-1: Graphic illustration of conclusions

Source: Own construction (2015).

11.1.1 Contribution to development planning theory in South Africa

There are, in essence, three main contributions that this study makes to our current understanding of sustainable rural livelihood development in the African context.

First, it postulates a sustainable rural livelihood development paradigm, encapsulating the principles of sustainable development in general and the traditional African environment in particular, as well as community-based planning in general and the micro-development of rural livelihoods in particular; and augmented with the insights gained from semi-structured interviews with experienced key interviewees in the rural development sector of South Africa. This

paradigm is an integrated and holistic micro-development approach that specifically conforms to the contextual reality of the predominantly rural areas of South Africa, with an emphasis on advancing the role of women in sustainable rural livelihood development.

Secondly, this study establishes the necessity of a supporting policy and legal framework to enable the development of sustainable rural livelihoods, as well as providing the relevant South African policy and legal framework in this regard.

Thirdly, it proposes an implementation and monitoring agency to provide support to rural communities, and by extension supporting local government in its developmental mandate, namely tertiary education institutions.

These contributions are expounded upon in the following section.

11.2 Conclusions

From the preceding discussion, it is clear that there are certain requisites that need to be met in order to successfully support sustainable rural livelihood development in the predominantly rural areas of South Africa. First, a sustainable rural livelihood development paradigm needs to be set forth that is responsive to the unique and challenging circumstances of rural South Africa. Second, the enabling policy and legal framework supporting sustainable rural livelihood development needs to be clarified. Third, a suitable Community Development Initiative to support, monitor and evaluate sustainable rural livelihood development of communities in predominantly rural areas should be established. These are discussed in more detail below.

11.2.1 Sustainable rural livelihood development paradigm

The sustainable rural livelihood paradigm presented here has been carefully synthesised from the relevant literature research and an empirical survey of semi-structured interviews with experienced key informants, as illustrated in Figure 11-2.

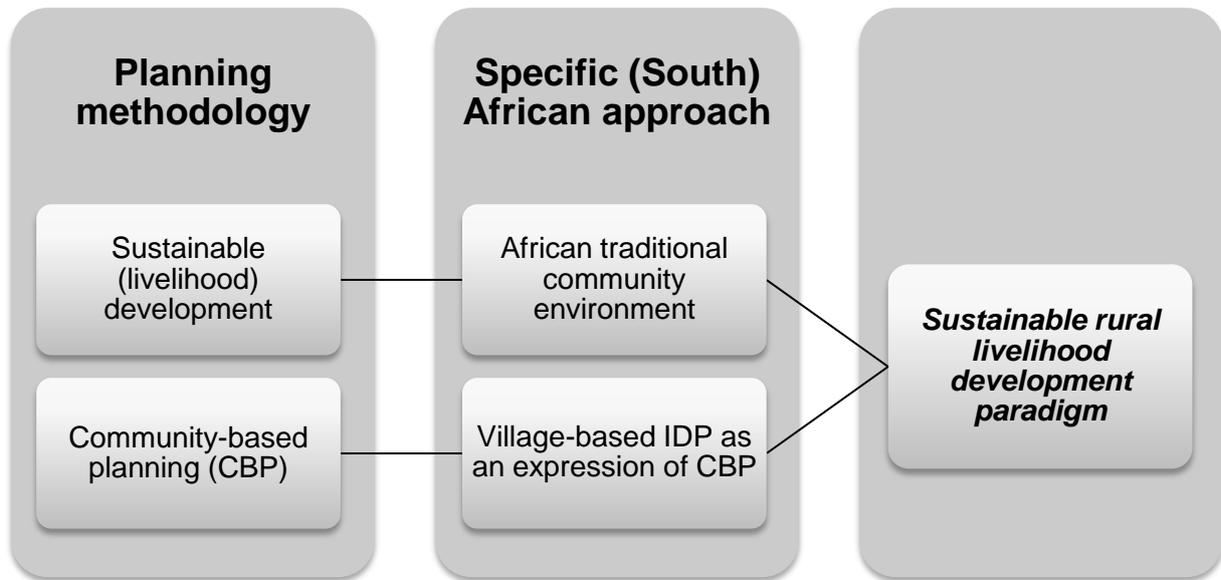


Figure 11-2: Development of sustainable rural livelihood paradigm

Source: Own construction (2015).

From the early 1970s the phrase “sustainable development” has increasingly become the focus of the development debate, evolving from the “basic needs” approach which has poverty alleviation as one of its principle goals (Cole, 1994b:228; Clayton, 1983:19). Inherent in sustainable development is the concept of a context-specific approach, defined by the people and their environment. It is imperative that for sustainable rural livelihood development to succeed, the guiding framework and principles are amalgamated with the local needs and conditions, being flexible to suit the rural space, characteristics, community needs, required interventions and opportunities. As such, the specific African traditional community environment context provides a significant contribution.

Traditional communities of affection (as exemplified in ubuntu) have a tremendous potential in establishing sustainable rural livelihood development (sustainable development) in areas with a predominantly rural character, particularly in South Africa (and Africa). Although the characteristics of ubuntu (communal fellowship, collective interdependence and the solidarity of communities) are intangible, it is vital in leveraging traditional community networks in support of sustainable rural livelihood development. Traditional groups that have ubuntu demonstrate how they transform a shared vision with personal and communal long-term survival strategies into living and working communities adapted to their surroundings.

A crucial component of this approach is the significance of women as implantation agents in rural and urban transitional communities, a perspective that should be incorporated into whichever strategies are proposed for sustainable rural livelihood development. Other important issues stemming from an *ubuntu* approach are the significance of people-based

environments, local contexts, respect for indigenous knowledge and technologies, cultural precepts and that sustainable living is taught through practice.

The value that the traditional community environment has for sustainable development is particularly reflected in the concepts of collaborative leadership, community-based systems, an all-encompassing view of the value of land, the economy of affection, and small farm agriculture. Particularly, collaborative leadership and community-based systems can be used as the primary means with which to develop social capital in support of sustainable livelihoods in South Africa. However, it should be recognised that traditional community environments often reflect the complex agricultural and livelihood systems that form part of the survival strategies of rural and predominantly rural communities, and as such need careful negotiation. Specifically the issues relating to; tenure systems, property ownership, and a strong focus on, and provision for, women in rural and predominantly rural areas, should receive serious consideration in sustainable livelihood development.

Community-based planning as an expression of “communicative action” has become prominent in planning theory since its proposal and development by authors such as Jürgen Habermas, Healey, Hoch and Innes & Gruber. The principles underlying community-based planning are concurrent with those of sustainable development, which posit that people on the ground need to be incorporated into the decision-making and implementation processes at all levels to achieve sustainable development (Juárez-Galeana, 2006:183).

In South Africa CBP has become part of planning parlance since the early 1970s, as a reaction to the limitations of master planning, and its precedence has increased concurrently with the democratisation of South Africa. It has culminated in the policy that requires the preparation of Integrated Development Plans (IDPs), which direct developmental and spatial planning in local government, with a strong focus on participative governance and public participation. Community-based planning (as exemplified by the IDP) is viewed as the pre-eminent tool to achieve sustainable livelihood development in areas with a predominantly rural character in South Africa. However, the literature survey and empirical results indicate a serious concern regarding principle of “placing people at the centre of development”.

While the notion of participation in development planning has been established, this study confirms that the capacity of communities to participate has been severely misjudged. This is particularly true of communities in areas with a predominantly rural character, where the very issues that need to be addressed by the IDP contribute to creating their sense of powerlessness and thus to impeding meaningful participation. In this regard, the value of empowering communities to be actively involved with participative planning cannot be underestimated.

11.2.2 Policy and legal framework

Post-1994, the specific policy and legal framework for rural development has evolved from the RDP (1994) to the current Rural Development Policy Framework (RDPF, 2013). While the RDPF (2013) strives to align with the NDP 2030 (2012) and the MTSF, it is still firmly rooted in the principles of the RDP. Despite the fact, however, that these policies and laws emphasise sustainable development and placing rural communities in the centre of their own development, there is still uncertainty with respect to the spatial scaling of development initiatives.

Traditionally there have been advocates for central planning (“planning from above”) and decentralised planning (planning from below”), with scattered responsibility (until recently) for rural development exacerbating the difficulty to approach it in an integrated and holistic manner. Recent legislation such as (2013), as well as the rulings of the Constitutional Court on municipal planning, however, has confirmed that the primary responsibility for the management and development of rural spatial systems is that of local government. This can be effected by local and district municipality through their SDF, IDP and municipal planning tribunals. However, central government still has a responsibility to ensure territorial justice, equity and the collective provision of public goods and therefore the different spheres of government need to coordinate their planning efforts.

A critical concern regarding developmental local government, however, is that although it is supported by government’s policy and legal framework, the result of expanding municipal boundaries to include under-serviced rural populations, has been to severely pressurise local authorities that already struggle to fulfil their service delivery mandates. In this respect, newer policies and legislation increasingly provides for the development of self-reliant rural communities, in particular where municipal governments lack capacity and resources. The National Development Plan (2012), for instance, encourages local municipalities in empowering local communities, particularly in scattered rural settlements, to run their own services.

Self-reliant communities are further supported by provisions in the policy and legal framework for municipalities to enter into partnerships with community-based organisations and non-governmental organisations to facilitate development initiatives. This provides an opportunity to adapt traditional livelihood systems to modern environmentally sustainable ways in order to establish sustainable rural livelihoods. The service-delivery options discussed in Section 10.2 illustrate the possibilities for communities to provide for themselves, independent from provision by local and other spheres of government, as well as considerations that should to be incorporated above and beyond “traditional” planning approaches.

Furthermore, local municipalities can specifically make provision for rural village planning in their IDPs, SDFs and LUMSs, in line with NDP (2012) proposals and SPLUMA (2013). The proposal of a village level IDP to be included in the local municipality’s IDP is a purpose-built institutional mechanism to foster local government-civic collaboration at the neighbourhood level (as opposed to ward-level) interactions. This (rural) village livelihood support plan must be linked and integrated with the local municipality’s IDP and Spatial Development Framework (SDF), as specified in SPLUMA. Section 12(1) of the Spatial Planning and Land Use Management Act (Act 16 of 2013), requires that a municipality’s SDFs contains the following information: ‘(g) previously disadvantaged areas, areas under traditional leadership, rural areas, informal settlements, slums and land holdings of state-owned enterprises and government agencies and address their inclusion and integration into the spatial, economic, social and environmental objectives of the relevant sphere’.

Figure 11-3 illustrates specifically how the sustainable rural livelihood development approach as advocated in this study is situated within the legal and policy framework of South Africa.

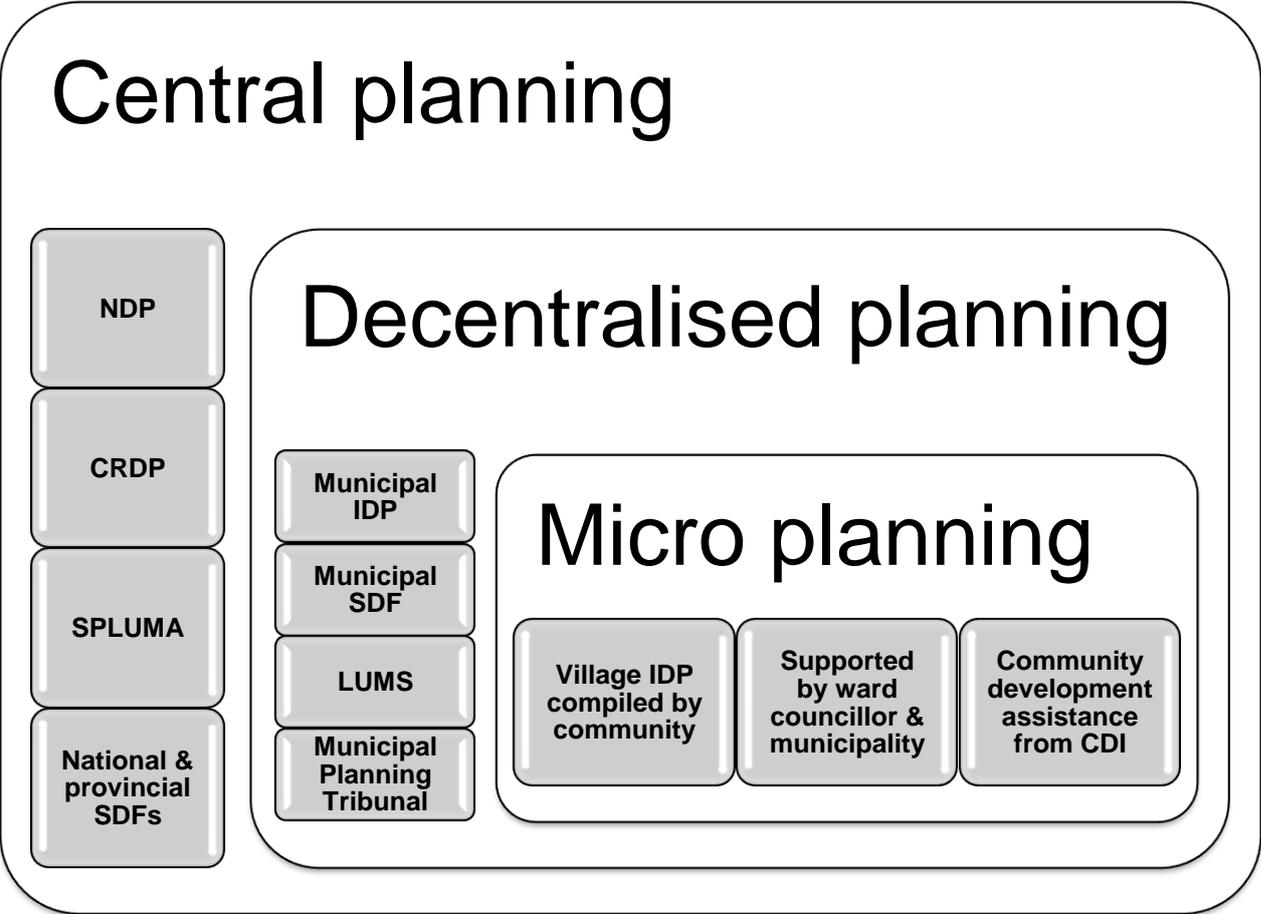


Figure 11-3: Policy and legal framework for sustainable rural livelihood development

Source: Own construction (2015).

11.2.3 Tertiary education institutions as Community Development Initiatives

Almost all of government's rural development policies, from the RDP through to the IDP and NDP, have emphasised the necessity of placing rural people central to the development of their areas. Communities need to exercise their rights and take up their responsibilities, so as to achieve and maintain sustainable rural livelihoods. It has been assumed that people in rural areas would have this capacity to participate, even to drive, their own development, but this has not been the case. It has become abundantly clear that to successfully implement sustainable rural livelihood development, training and empowerment should form an indispensable component thereof.

In spite of the fact that "empowering" local communities is essential to achieving sustainable development (inclusive of sustainable rural livelihoods) however, there has been very little direction of how to address this in an integrated and holistic manner. In addition, government is often viewed as the primary development agent in communities, which places it in the difficult position of not only providing services but also empowering communities to access these services. This affords Community Development Initiatives (CDIs), such as NGOs, the opportunity to assist in the empowerment of local communities.

CDIs can have an invaluable contribution in providing alternative methods to empower and mobilise people for their own development. They can provide labour and community liaison to enable the transfer of skills and empowerment of the community, without draining municipal capacity. Moreover, they have characteristics often more suitable to the empowerment of communities than that of government, for instance assisting people at micro level to improve their material well-being in sustainable ways, while at macro-level they work to influence government and other organisations for change to support sustainable development.

This study has highlighted the advantageous position of tertiary education institutions, such as universities, to serve as empowerment and development agents. These institutions can place their capacity, knowledge and expertise at the service of the community, as well as government. In this way it can give support to the implementation of the National Development Plan, specifically as it relates to the goals for establishing and improving rural livelihoods. In addition, where these institutions draw their student corps from predominantly rural areas, they have the advantage to already have some level of connection with the communities.

It should be noted, however, that the efforts of the university in isolation, cannot generate sustainable rural livelihood development, but building community capacity is a crucial first step in getting poor communities back in the economic mainstream and creating the possibility of sustainable development

12 RECOMMENDATIONS

12.1 Recommendations from the research

12.1.1 Sustainable rural livelihood development paradigm pilot projects

The preceding discussion of sustainable rural livelihood development has been based on literature reviews, discussions with knowledgeable persons involved with rural development, and sustainable livelihood examples, both national and international. However, experiential research is needed to test this model and clarify theoretical ambiguities. In other words, empirical research would allow for analysis of the successes and failures of this approach, its intended impacts and the unintended side effects. The results would be helpful to guide future reform steps and complementary policies. Expected outcomes and impacts could be scrutinised and the results can be fed back to local, provincial and national authorities as additional inputs for future policy decisions. It is therefore recommended that pilot projects be identified and undertaken to test the sustainable livelihood development paradigm.

To assist with the identification of pilot projects to implement the sustainable rural livelihood development paradigm as a micro-development approach towards rural development in South Africa, the following recommendations are offered:

- Identification of rural villages in terms of the CSIR's classification, which also exhibit traditional community features such as collaborative leadership, community-based systems, an all-encompassing view of the value of land, the economy of affection, and small farm agriculture with traditional community features.
- Determination of a suitable community development initiative (CDI) to assist the rural villages with the implementation of the sustainable rural livelihood paradigm as envisaged in this study.
- Establishment of a three-way public-private-community-based organisation partnership (for instance a university CDI, rural community and the municipality), with clear goals and measurable objectives, for a term of at least five years.
- Women should be considered the primary drivers and implementers of the pilot projects, particularly as they are the keepers of tradition and cohesiveness in communities. This should include the priority goals of securing land use and water rights for women in rural areas, and enabling their participation through supportive strategies (i.e. childcare).

- To ensure that an integrative and holistic approach is followed with due regard to local context (including that of tribal authorities) and respect for indigenous knowledge, an initiation period of at least six months should be allowed for members of the community, CDI and government to learn about and trust each other.
- The implementation of at least one measurably successful sustainable rural livelihood project in the pilot project communities, within six months to one year from commencement of the pilot projects (preferably either a food garden or a sanitation project).
- The completion of a village IDP for each pilot project community within a two year period from the commencement of the pilot projects.
- Documentation and provision of continues feedback regarding the learning experiences in the testing of the rural resilience development paradigm within the partnership.

12.1.2 Policy and legal framework

As illustrated in Chapter 7, the policy and legal framework of South Africa fully support the development of sustainable rural livelihoods. There is also provision for the development of self-reliant rural communities, in particular where municipal governments lack capacity and resources. The National Development Plan (2012), for instance, encourages local municipalities in empowering local communities, particularly in scattered rural settlements, to run their own services.

Although spatial development frameworks do not conventionally make provision for village-level development, the provisions of SPLUMA presents the opportunity for local government to include rural livelihood development initiatives in their planning process. The following recommendations are made in this regard:

- In terms of Section 24(3)(b) of SPLUMA (Act 16 of 2013), a specific zoning classification can be included in land use schemes that provides for a “sustainable rural livelihood area” or an “agrivillage”.
- The Spatial Development Framework (SDF) of municipalities should identify existing and potential “agrivillages” (in collaboration with communities).
- Village-level IDPs, compiled by communities and in concurrence with the municipal council where it is located, should be incorporated in the municipality’s planning policies (IDP, SDF and LUMS).
- The support and development of community-based institutions, such as “tribes” or villages to enter into service agreements with local and other spheres of government for service delivery.

12.1.3 Tertiary education institutions as community development initiatives (CDIs)

This study has highlighted the advantageous position of tertiary education institutions, such as universities, to serve as empowerment and development agents in sustainable rural livelihood development strategies. These institutions can place their capacity, knowledge and expertise at service of the community, as well as government, for establishing and improving rural livelihoods. The specific characteristics of tertiary education institutions, such as universities, provide the perfect complement for developmental government, as they are geared towards research, learning and support. It is therefore proposed that a provisional CDI be established at a tertiary institution which draws its main student corps from predominantly rural areas, for instance the Northwest University.

The establishment of a CDI (provisionally named a Sustainable Rural Livelihood Support Centre) at an university should make provision for research and development of applicable technologies, training and skills cultivation in communities, a support dissemination centre and core support team coordinator. The purpose of core teams would be to be dedicated to a specific community in order to provide a “face” and link between communities and university. Core teams should consist of at least an urban and regional planner, anthropologist/sociologist, service engineer/architect, agricultural economist and a community member. Additional ad hoc members could include financial experts, legal counsel and LED specialists. An illustration of this proposal is provided in Figure 12-1.

SUSTAINABLE RURAL LIVELIHOOD DEVELOPMENT CENTRE

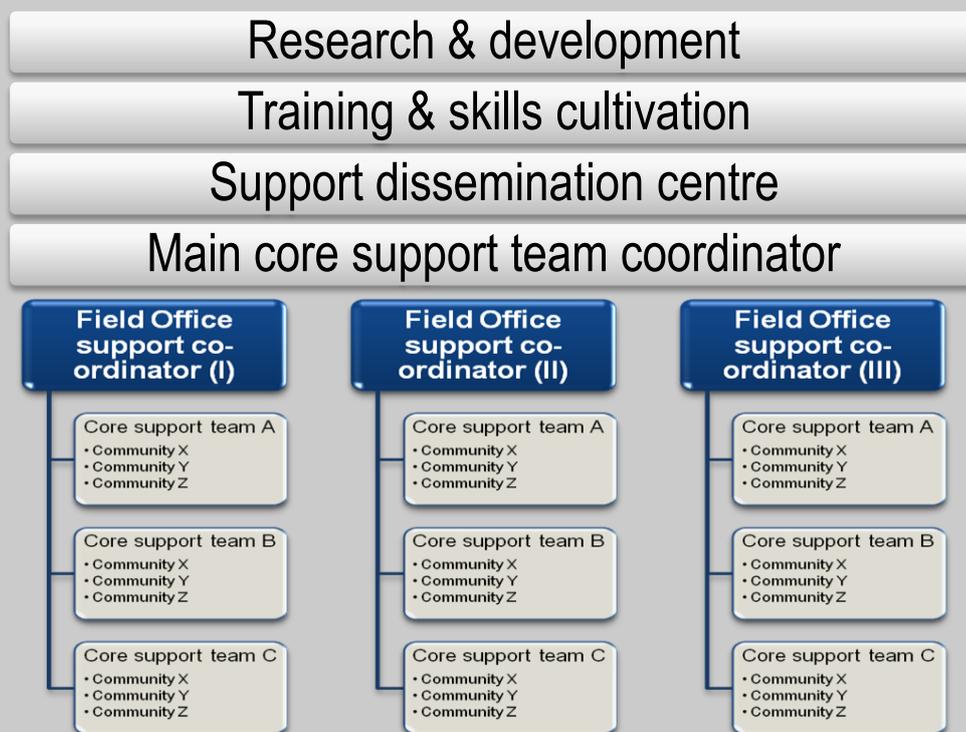


Figure 12-1: Sustainable Rural Livelihood Development Centre

Source: Own construction (2015).

The role of such a Sustainable Rural Livelihood Development Centre would be:

- Provision of technical assistance for the implementation of different types of plans and supporting the collection, analysis, use, sharing and dissemination of spatial data.
- Designing and organising training sessions for policy-makers and local leaders to sensitise them on rural livelihood development issues, particularly on the need for continues and long-term implementation and accountability.
- Undertaking on-the-job training and applied research associated with the implementation of the plans with a view to learning from practical experience and providing substantive feedback to decision-makers.
- Documenting planning models which could be used for education purposes, awareness-raising and the broad mobilization of the public.

- Developing new tools and transfer knowledge across borders and sectors to promote integrative, participatory and strategic planning.
- Advocating innovative solutions that promote sustainable rural livelihood development.
- Supporting the empowerment of vulnerable and disadvantaged groups and indigenous peoples and communities

12.2 Limitations for the study and recommendations for future research

The purpose of this study has been to determine whether a contextual understanding of sustainable rural livelihood development in South Africa (inclusive of a traditional community environment understanding), in conjunction with current community-based development planning approaches in urban and regional (territorial) planning, could be used to inform planning considerations and proposals to support indigenous sustainable rural livelihood development in the predominantly rural areas of South Africa. As micro-development approaches in predominantly rural areas within the specific South African context, as well as the establishment of CDIs at tertiary institutions to support these approaches, have not yet been implemented, it has not yet been possible to evaluate case studies in this regard.

In essence, then, this has been a conceptual study and given its nature, it requires by necessity the testing and implementation of its conclusions and recommendations to evaluate its applicability in the support of sustainable rural livelihood development in the predominantly rural areas of South Africa. Three major research areas as derived from this research study can be identified, and is described in the following paragraphs.

- Research regarding the contribution that women make to the development of sustainable livelihoods in rural areas, as well as the manner in which their specific deprivations can be addressed. The establishment of an empowerment agenda, with the assistance of NGOs that serve as community development initiatives (CDIs), is considered a priority in this study and should be vigorously pursued.
- Although this study has provided a basis for incorporation of the traditional community environment with sustainable livelihood development, through a micro-development approach, there is still a broad scope for research into the complex farming and livelihood systems within which rural and urban transitional communities exist and the contribution that the *ubuntu* approach can make towards sustainable rural livelihood development.
- Evaluating the opportunity of utilising tertiary education institutions as community development initiatives at universities, especially in assisting communities in predominantly rural areas to pursue sustainable rural livelihood development.

The crucial belief that sustainable rural livelihood development should evolve beyond planning *for* a community to planning *by* a community is reiterated, specifically in the differentiated and unique areas of predominantly rural South Africa. The indigenous approach advocated in this study should give some guidance and provide a conceptual framework for this approach to planning, where people have autonomy over the shape, direction and viability of their communities

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ANNEXURES

**ANNEXURE A: TABLE OF POWERS AND FUNCTIONS ACROSS THE
THREE SPHERES OF GOVERNMENT**

Table of powers and functions across the three spheres of government

NATIONAL	PROVINCIAL	LOCAL
• Administration of indigenous forest	• Administration of indigenous forest	
• Agriculture	• Agriculture	
• Airports	• Airports other than international and national airports	• Municipal airport
• Animal control and diseases	• Animal control and diseases	• Facilities for the accommodation, care and burial of animals
• Casinos, racing, gambling & wagering	• Casinos, racing, gambling & wagering	
• Lotteries and sport pools		
• Consumer protection	• Consumer protection	
• Cultural matters	• Cultural matters	
• Disaster management	• Disaster management	• Fire fighting management
• Education including tertiary	• Education excluding tertiary	
• Environment	• Environment	• Promote safe and healthy environment (objects of LG)
• Health services	• Health services	• Municipal health services
• Housing	• Housing	• Building regulations
• Indigenous and customary law	• Indigenous and customary law	
• Industrial promotion	• Industrial promotion	• Local economic development
• Language policy	• Language policy	
• Media services	• Media services	

NATIONAL	PROVINCIAL	LOCAL
<ul style="list-style-type: none"> • Nature conservation 	<ul style="list-style-type: none"> • Nature conservation 	<ul style="list-style-type: none"> • Nature conservation excluding national parks, national botanical gardens and marine resources
		<ul style="list-style-type: none"> • Local amenities and public places
<ul style="list-style-type: none"> • Police 	<ul style="list-style-type: none"> • Police 	
<ul style="list-style-type: none"> • Pollution control 	<ul style="list-style-type: none"> • Pollution control 	<ul style="list-style-type: none"> • Air pollution and noise pollution; control of nuisances
<ul style="list-style-type: none"> • Population development 	<ul style="list-style-type: none"> • Population development 	
<ul style="list-style-type: none"> • Property transfer fees 	<ul style="list-style-type: none"> • Property transfer fees 	<ul style="list-style-type: none"> • Property rates
<ul style="list-style-type: none"> • Public enterprises 	<ul style="list-style-type: none"> • Provincial public enterprises 	<ul style="list-style-type: none"> • Markets and municipal abattoirs
<ul style="list-style-type: none"> • Public transport 	<ul style="list-style-type: none"> • Public transport 	<ul style="list-style-type: none"> • Municipal public transport
<ul style="list-style-type: none"> • Public works 	<ul style="list-style-type: none"> • Public works 	<ul style="list-style-type: none"> • Municipal public works
<ul style="list-style-type: none"> • Regional planning and development 	<ul style="list-style-type: none"> • Regional planning and development 	<ul style="list-style-type: none"> • Municipal planning
<ul style="list-style-type: none"> • Road traffic regulations 	<ul style="list-style-type: none"> • Road traffic regulation 	<ul style="list-style-type: none"> • Municipal roads, traffic and parking
<ul style="list-style-type: none"> • Soil conservation 	<ul style="list-style-type: none"> • Soil conservation 	
<ul style="list-style-type: none"> • Tourism 	<ul style="list-style-type: none"> • Tourism 	<ul style="list-style-type: none"> • Local tourism
<ul style="list-style-type: none"> • Trade 	<ul style="list-style-type: none"> • Trade 	<ul style="list-style-type: none"> • Street trading; trading regulations; Licensing and control of undertakings that sells food to the public
<ul style="list-style-type: none"> • Traditional leaders 	<ul style="list-style-type: none"> • Traditional leaders 	
<ul style="list-style-type: none"> • Urban and rural development 	<ul style="list-style-type: none"> • Urban and rural development 	
<ul style="list-style-type: none"> • Vehicle licensing 	<ul style="list-style-type: none"> • Vehicle licensing 	<ul style="list-style-type: none"> • Traffic and parking
<ul style="list-style-type: none"> • Welfare services 	<ul style="list-style-type: none"> • Welfare services 	<ul style="list-style-type: none"> • Child care facilities

NATIONAL	PROVINCIAL	LOCAL
	<ul style="list-style-type: none"> • Abattoirs 	<ul style="list-style-type: none"> • Municipal abattoirs
	<ul style="list-style-type: none"> • Ambulance services 	<ul style="list-style-type: none"> • Municipal health services
<ul style="list-style-type: none"> • National Archives 	<ul style="list-style-type: none"> • Archives other than national archives 	
<ul style="list-style-type: none"> • National libraries 	<ul style="list-style-type: none"> • Libraries other than national libraries 	
	<ul style="list-style-type: none"> • Liquor licenses 	<ul style="list-style-type: none"> • Control of undertaking that sell liquor to the public
<ul style="list-style-type: none"> • National Museums 	<ul style="list-style-type: none"> • Museum other than national museums 	
	<ul style="list-style-type: none"> • Provincial planning 	<ul style="list-style-type: none"> • Municipal planning
	<ul style="list-style-type: none"> • Recreation and amenities 	<ul style="list-style-type: none"> • Beaches and amusement facilities; local amenities; municipal parks and recreation; public places
<ul style="list-style-type: none"> • Sport 	<ul style="list-style-type: none"> • Provincial sport 	<ul style="list-style-type: none"> • Local sport facilities
	<ul style="list-style-type: none"> • Provincial roads and traffic 	<ul style="list-style-type: none"> • Traffic and parking
	<ul style="list-style-type: none"> • Veterinary services, excluding regulation of the profession 	<ul style="list-style-type: none"> • Licensing of dogs; cleansing;
<ul style="list-style-type: none"> • Electricity 		<ul style="list-style-type: none"> • Electricity and gas reticulation
<ul style="list-style-type: none"> • International and national shipping and matters related thereto 		<ul style="list-style-type: none"> • Pontoons, ferries, jetties and harbours
		<ul style="list-style-type: none"> • Stormwater management systems in built-up areas
<ul style="list-style-type: none"> • Water 		<ul style="list-style-type: none"> • Water and sanitation
		<ul style="list-style-type: none"> • Billboards and the display of advertisement in public places
		<ul style="list-style-type: none"> • Cemeteries, funeral parlours and crematoria

NATIONAL	PROVINCIAL	LOCAL
		<ul style="list-style-type: none"> Fencing and fences
		<ul style="list-style-type: none"> Pounds
		<ul style="list-style-type: none"> Refuse removals, refuse dumps and solid waste disposal
<ul style="list-style-type: none"> Forestry 		
<ul style="list-style-type: none"> Defence 		
<ul style="list-style-type: none"> Civic affairs 		
<ul style="list-style-type: none"> Foreign affairs 		
<ul style="list-style-type: none"> Labour 		

Source: Department of Provincial and Local Government (2007:27-29).

ANNEXURE B: QUESTIONNAIRE

INDIVIDUAL QUESTIONNAIRE

RESEARCH TOPIC: PLANNING FOR SUSTAINABLE LIVELIHOODS PREDOMINANTLY RURAL AREAS

The purpose of this questionnaire is to gain a sense of how you perceive sustainable livelihood development in predominantly rural areas. This interview sheet is mainly a guide and the intention is to allow for a free-flowing discussion and use the questions to direct the enquiry. Only some questions will be quantifiable.

SECTOR

NGO

Academic

Traditional

Government

DATE

1. GENERAL INFORMATION

1.1 *How long have you worked/participated in the development in and of predominantly rural areas?*

1.2 *Describe your role in development in and of predominantly rural areas.*

1.3 *To what degree, in your opinion, has your involvement with development in and of rural areas and urban transitional zones led to said development?*

1	2	3	4	5
---	---	---	---	---

1.4 Would you like to add additional comments?

2. RATING OF ELEMENTS NECESSARY FOR SUSTAINABLE LIVELIHOOD DEVELOPMENT

2.1 General factors

Please rank the importance (in your opinion) of the following factors when considering development in and of predominantly rural areas, with 1 = most important and 4 = least important:

IMPORTANCE				GENERAL FACTORS
1	2	3	4	
				Community-based planning
				Sustainable development
				Place Commitment (the commitment of people in a specific area to their place of residence)
				Traditional community environment (Being culturally grounded and part of a cultural tradition that is expressed through daily activities)

2.2 Economic factors

Please rank the importance (in your opinion) of the following factors specifically relating to economic factors when considering development in and of predominantly rural areas, with 1 = most important and 4 = least important:

IMPORTANCE				ECONOMIC FACTORS
1	2	3	4	
				Self-sufficiency
				Access to learning opportunities (i.e. access to information, schools, skill development etc.)
				Opportunities for age-appropriate work
				Access to market opportunities

2.3 *Physical ecological factors*

Please rank the importance (in your opinion) of the following factors specifically relating to physical ecological factors when considering development in and of predominantly rural areas, 1 = most important and 6 = least important:

IMPORTANCE						PHYSICAL ECOLOGICAL FACTORS
1	2	3	4	5	6	
						Adequate housing and service provision
						Access to a healthy environment
						Safety and security in one's community
						Sustainable resource use
						Ecological diversity
						Access to recreational spaces

2.4 *Social factors*

Please indicate the importance (in your opinion) of the following factors specifically relating to social factors when considering development in and of predominantly rural areas, 1 = most important and 6 = least important:

IMPORTANCE						SOCIAL FACTORS
1	2	3	4	5	6	
						Meaningful relationships between community members
						Having positive mentors and role models in the community
						Having common community goals and aspirations
						Ability to solve problems
						Being culturally grounded by knowing where you come from and being part of a cultural tradition that is expressed through daily activities.
						Ability to manage cultural dislocation and a change or shift in values and being able to live with uncertainty

3. SUPPORT FOR SUSTAINABLE LIVELIHOOD DEVELOPMENT IN RURAL AREAS AND URBAN TRANSITIONAL ZONES

Please indicate in what capacity the following questions are answered:

Individual

--

As representative of organisation

--

If answer is given as representative of organisation, please state name of organisation:

3.1 What support are you/your organisation currently providing for the development of sustainable livelihoods predominantly rural areas,?

CURRENT SUPPORT	
Funding	
Organisational support	
Research and development	
Training and skills development	
Other (please specify):	

3.2 What support are you/your organisation willing to provide in future to assist the development of sustainable livelihoods in predominantly rural areas?

CURRENT SUPPORT	
Funding	
Organisational support	
Research and development	
Training and skills development	
Other (please specify):	

ANNEXURE C: EXAMPLE OF CONSENT LETTER

Dear participant

RE: REQUEST FOR YOUR PARTICIPATION IN PhD RESEARCH PROJECT “FROM SURVIVING TO THRIVING: PLANNING CONSIDERATIONS AND PROPOSALS TO SUPPORT SUSTAINABLE LIVELIHOODS IN PREDOMINANTLY RURAL AREAS”

My name is Menini Gibbens and I am currently engaged with research regarding the development of sustainable livelihoods in predominantly rural areas for my doctoral thesis. I would like to invite your participation in the form of an interview and assisted by a questionnaire, with a view to gaining insights and perspectives from you based on position as a key informant. This interview should take approximately 1 hour. You will receive no money for being part of the discussion.

You will not be harmed by participating in this study. Your name will not be used when writing up the thesis unless you have given us permission in writing to use your name. Your participation is of your own free will and you have the right to decide not to take part at any time. You do not have to answer any questions you don't want to and we will ensure that your rights are protected.

If you have any questions about your rights, or are unhappy at any time with any aspect of the project, you may contact, anonymously, if you wish – the Ethics Committee (NWU Office for Research Support), (018) 299 4849, ethichs@nwu.ac.za.

If you have any questions about this study, you may contact Prof Carel Schoeman, Subject Group for Urban and Regional Planning, North West University (Potchefstroom Campus), (018) 299 2485, Carel.Schoeman@nwu.ac.za.

Yours faithfully,

Ms Menini Gibbens

Candidate for PhD in Urban and Regional Planning

I agree to participate in this study.

Name:

_____Signature:_____

Date: _____