

Planning for environmental sustainability
and social equity in South Africa: the case of
the Dwars River Valley, Stellenbosch
Municipality

by

Corrine Cash

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AUTHOR'S DECLARATION

I hereby declare that I am the sole author of this thesis. This is a true copy of the thesis, including any required final revisions, as accepted by my examiners.

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Abstract

Post apartheid planning practice aims to resolve the inequality that resulted from the hyper-rational comprehensive model of planning executed during apartheid via a participatory, integrated approach. The Integrated Development Planning model was created to manifest the goals of social and spatial equality while taking into account principles set forth in Agenda 21. This thesis attempted to determine the relevance of the present planning model in achieving the stated goals of social equity and environmental sustainability, within the Dwars River Valley, Stellenbosch Municipality, Western Cape, South Africa. Utilizing 54 qualitative-based interviews with key stakeholders, results indicate that historically based realities on the ground and ideals of more equitable and sustainable spatial architecture is profoundly challenging. Despite this, the organic emergence of unique coalitions provides evidence that positive change occurs daily and outcomes can only be measured with time.

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Dedication

This work that is a result of time, effort and commitment is dedicated to my parents: Charlie and Marie Cash.

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Chapter 1

Introduction

South African planning practice has been shaped by a history of entrenched inequality where land and resources were used as tools to further apartheid (Harrison, Todes & Watson, 2006). In post apartheid South Africa, a new set of plans have been adopted and adapted from international practice to reach national goals of social equality, environmental sustainability and basic services for all. The adopted practice promotes participatory planning “to create a socially equitable and environmentally sustainable society” (Government of South Africa, 1994). The once wealthier and White dominated Municipality of Stellenbosch now encompasses settlements that were situated on poor land with only limited access to basic services and water resources. After apartheid ended in 1994, they have had to integrate the needs of all stakeholders and all communities so that the overall goal of social equity and environmental sustainability is achieved.

Stakeholders, including those from business and industry, commercial and subsistence farming, and urban and peri-urban residents, have varying needs. Therefore, sharing of resources and planning for social equality is particularly challenging. Toward this end, Greater Stellenbosch Municipality has been divided into 19 wards that are no longer determined by race or class. Influenced by Agenda 21, a municipal-wide integrated development plan (IDP) has emerged out of decisions based on the needs of people in each of these 19 areas. Given the vast social and economic inequalities, particular attention is given to a participatory planning process, in the hope that the goal of these plans will be realized.

1.1 Research Objective

The purpose of this study is to determine the relevance of the present planning model in achieving the stated goals of social equity and environmental sustainability, within the Dwars River Valley, Stellenbosch Municipality, Western Cape, South Africa.

As South Africa continues to affirm its stated democratic values of human dignity, equality and freedom, it is essential to determine whether or not the planning process (including conception, implementation, regulation, monitoring and revision) assists in the realization of the stated overall goals. According to Flyvbjerg (2003), power determines rationality, and this ultimately determines outcome. Therefore, regardless of the existing constitution and planning acts, on the ground realities will be determined by those who hold power. In contrast, for Ostrom (1990) and others (Arnstein, 1969), participatory processes of decision-making are a necessary check on dominant power outcomes in the planning process. The tension between these two theoretical perspectives will serve as the framework in

which this research will be conducted. The significance of this study is to determine the relevance of the present planning model in achieving the stated goals of social equity and environmental sustainability, within the Dwars River Valley (DRV), Stellenbosch Municipality, South Africa.

The research is presented as a case study. Case studies involve the researcher collecting detailed information using a variety of data collection procedures and are bounded by time and activity (Stake, 1995). The researcher “explores in depth a program, event, activity, process or one or more individuals” (Creswell, 2009, pp. 13).

Prior to 1994, land patterns and resource distribution reflected racially discriminatory policies that dominated the apartheid era. Post apartheid policies promote spatial and social integration. The Dwars River Valley is located in a unique geographical area that is known for its stunning landscape and historical significance. It draws tourists from around the world due to the internationally acclaimed wine production that occurs in the area. This makes the area very attractive for wealthy investors while escalating land values in the area. Parallel to the wealth that has historically been dominated by the White population, there are long standing settlements where the “previously disadvantaged” reside (meaning Coloured or Black people who received little to no rights during apartheid). Hence, the area presents a diverse mix of actors, along with their individual goals and ambitions. While located within the Stellenbosch municipality, the area also crossed two municipal wards with two different municipal Councillors. How individual intents correspond with post apartheid planning policies makes the Dwars River Valley case a very interesting case study.

1.2 Research questions

This research seeks to answer the following five questions: (see Table 1: Conceptual framework)

- 1). How effective is the IDP process?
- 2). Do land use decisions match on the ground realities?
- 3). Following from Flyvbjerg (2003), is implementation a result of political power, regardless of the planning model developed?
- 4). To what extent do participatory planning models lead to mutually beneficial outcomes among differently empowered stakeholders?
- 5). Does successful implementation require a constellation of powerful actors united in a common vision?

Table 1: Conceptual framework

Research Objective:				
To determine the relevance of the present planning model in achieving the stated goals of social equity and environmental sustainability, within the Dwars River Valley, Stellenbosch Municipality, Western Cape, South Africa.				
Research Question	Explanation	Literature	Expectations	Methodology
1). How effective is the IDP process?	The IDP is the current planning model. The South African government, along with international agencies and western governments created the IDP post-1994 as a solution to the “hyper-RCM” apartheid planning model.	Government of South Africa (1994) Bond (2000) Lichfield (2006) Hoch (2002) Seasons (2009a) Faludi (2000) Harrison (2006) Van der Waal (2005) Stellenbosch Municipality (2009) UNDP (2009) Pieterse (2004)	Based on Flyvbjerg (2003), power dictates results. But, Harrison (2006), states that more research must be done to evaluate IDP effectiveness and it will take time. For him and others (Pieterse, 2004), the real challenge is reversing societal inequalities.	Qualitative research design. Review of all relevant documents. Open ended questions, video and photographs. Transcribed, then inputted into NVivo software, before being analyzed using a “grounded theory” approach whereby common themes emerged.
2). Do land use decisions match on the ground realities?	To determine whether or not the planning model succeeds in reaching overall goals. There has been criticism that results do not reflect policies. This is often expressed sectoral specifically (e.g. water resources and electricity).	Cullis and Van Koppen (2007) Bate & Tren (2002) Wylie (2001) Harrison (2006) Pillay et. al (2006) Van der Waal (2005) Stellenbosch Municipality (2009) Harrison et. al (2008) Maylam (1995) South Africa (2008)	Literature suggests that power dynamics and historical struggles present vast barriers to matching plans with realities.	

<p>3). Following from Flyvbjerg (2003), is implementation a result of political power, regardless of the planning model developed?</p>	<p>Demonstrates potential barriers, if any, to successful plan implementation. Power dynamics mark South African decision making processes and has assisted in designing the country's spatial architecture. Asks: is this still at play, regardless of policy that promotes equal participation?</p>	<p>Flyvbjerg (2003) Arnstein (1969) Ostrom (1990) Laburn-Pearl (1998) Davidoff (2003) Emmett (2000) Taylor (1998) United Nations (2009) UNDP (2009) Van der Waal (2005)</p>	<p>South Africa planning practice has been historically shaped by power dynamics (Harrison et. al, 2006). Thus, Flyvbjerg's hypothesis is likely accurate, despite the literature that discusses how public participation can produce equal results.</p>	
<p>4). To what extent do participatory planning models lead to mutually beneficial outcomes among differently empowered stakeholders?</p>	<p>The IDP entails a participatory planning model, which is believed to reflect democratic processes and obstruct power dynamics from dictating results. This question assists with determining whether or not citizen engagement in actuality impacts results?</p>	<p>Ostrom (1990) United Nations (2009) Arnstein (1969) Davidoff (2003) Emmett (2000) Government of South Africa (2000) ANC (2008) Laburn-Pearl (1998) Stellenbosch Municipality (2009) ANC (2009) CSIR (2002) Davidoff (2003) Government of South Africa (1994) Taylor (1998) UNDP (2009) Van der Waal (2005)</p>	<p>Literature suggests that participatory planning models result in more equitable outcomes; however, these may be modest in environments where power has historically and continues to dominate.</p>	

5). Does successful implementation require a constellation of powerful actors united in a common vision?	Many actors working together via a “bottom up” approach is believed by agencies such as the UN to result in “good governance” but Flyvbjerg (2003) discusses in depth how power influences ultimately shape results.	Flyvbjerg (2003) Arnstein (1969) Cullis and Van Koppen (2007) Davidoff (2003) Emmett (2000) Taylor (1998) United Nations (2009) UNDP (2009) Van der Waal (2005)	Literature suggests that equitable results rely on public participation but power dynamics typically dominate.	
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1.3 Layout of chapters

This thesis is made up of five chapters. Chapter two provides a review of relevant literature related to planning practice in the Dwars River Valley, Stellenbosch Municipality, South Africa. The third chapter comprises research methodology and Chapter 4 presents research results in a case study format. The thesis concludes with Chapter 5 where main findings are highlighted, conclusions are drawn, and recommendations are provided to assist policy makers with overall planning goals. Chapter 5 also suggests areas for future research.

Chapter 2

Literature Review

This review consists of five sections: South African planning practice; rational comprehensive model (RCM) – the dominant theoretical model during apartheid; post apartheid – the emergence of new key concepts and models of decision making; plan monitoring and evaluation theory and practice; and, South African water resource management theoretical framework. A review of the dominant planning models during and post apartheid sets the stage for understanding present day planning issues in South Africa. A review of evaluation and monitoring frameworks gives background on how plans are typically evaluated and will enhance understanding of the link between making a plan and on the ground realities. Finally, a review of water resource management in South Africa is necessary to understand how and why water has become a highly politicized commodity in South Africa and why the study of water is a good reflection of other socio-economic realities.

2.1 South African planning practice

South African planning practice has been deeply influenced by a history of racism (Harrison et al., 2006). Maylam (1995) described how the history of separatist land development can be traced back to the 1800s since White people believed that Blacks were the carriers of the plague and therefore began to use land as a barrier between races as an approach to protecting the health of the White population. Material and economic interests further contributed to the physical division between races. Dating back to the 1800s in the mining town of Kimberly, separate compound and hostel arrangements for White and Black labour were the first rigid form of residential segregation applied in the development of the South African city (Maylam, 1995). Whites also saw segregation as a means of job security because the African inhabitants were competing with Whites for unskilled labour (Maylam, 1995). Furthermore, economic concerns perpetuated separate land development because White property owners (who were the rate payers) determined the shape of municipal councils and wanted to ensure that their property values would remain secure. For them, this was best protected by spatially distancing Black residents from the White areas (Maylam, 1996). Furthermore, residential racial segregation also facilitated labour control and released land for industrial purposes (Maylam, 1996). Yet, until the Nationalist Party took power in 1948, the separatist Acts recommended and enabled segregation but did not compel it (Maylam, 1996). After 1948, a policy of denying full citizenship to the Black majority was elaborated and strengthened into

apartheid (O'Meara, 1996). Legislation was amended from the previous ad hoc segregationist measures and designed for the most part to meet the prejudices of a White minority based on a political ideology of segregation (Smith, 1982). The distinctive characteristic of the apartheid era was the introduction of tighter, more systematic, more comprehensive and strictly enforced control of the state over Blacks in their movement to urban areas for employment and residential opportunities (Smith, 1982).

The planning profession played a dominant role during the apartheid era; it was used as an instrument of crude social engineering causing great hardship and imposing an unnecessary burden on the economy (Pillay, Tomlinson & Du Toit, 2006). The terms of reference for the South African planning profession was to “suggest plans which were objectively thought out on their merits apart from purely political considerations...following as much as possible along scientific lines” (Harrison et al., 2006, pg. 9). South African planners adopted and adapted international best practices that dominated at that time. For instance, planners implemented western practice such as the creation of distinct neighbourhoods surrounded by greenbelts. At the same time, they used these practices to further apartheid because greenbelts became known as “buffer zones” and they built few access routes which allowed for better policing of Black population. They cited their policies as being compatible with international best practice and contemporary principles of planning (Harrison et al., 2006).

2.2 Rational comprehensive planning model: dominant theoretical model during apartheid

The dominant planning model in the western world, the Rational Comprehensive Model (RCM), served South African planners well during apartheid. Globally, it emerged in the 1940s and 1950s when leaders prepared to rebuild Europe after World War II. There was great faith in the application of science to policy making and technical professionals played a key role in advising decision makers (Taylor, 1998). American theorist Melvin Webber first made the link between the process and the object of planning as a method of reaching decisions independent of whatever was to be planned (Taylor, 1998). It arose from the notion that there was a collective public interest for government to provide public or collective consumptive goods and services and that these could be delivered by a single, centralized agency such as the city planning department or commission implementing a comprehensive and unitary plan (Davidoff, 2003). Planners and decision makers believed that improving the living conditions for the majority of the population could be accomplished through the conscious application of professional expertise, instrumental rationality, and scientific methods to more effectively promote economic growth

and political stability rather than allowing the unplanned forces of market and political competition to dominate (Klosterman, 2003).

This served South African planners well because decision makers at that time believed that White people were a superior race and creating separate societies was the best solution for all. The RCM was the perfect tool to use since it promoted objectivity and science as a tool to planning practice. Yet, while other models (such as advocacy planning) began to emerge throughout the 1960s in the western world, South African planners implemented a hyper-RCM style of planning. When P.W. Botha took office in 1978, security concerns directed all government policies under the National Security Management System (NSMS) (Cock, 1989). The NSMS coordinated all structures within the public and private realms and gave military direct influence on all decision making down to the local government (Cock, 1989). The most significant site of power was the State Security Council (SSC) which replaced parliament as the most influential decision making body in South Africa (Cock, 1989). Ultimately, the SSC had complete control of every economic, political, social and cultural aspect of South Africa. South African planners therefore, took their direction from the military which enforced a strict top down approach to decision making. Every land use decision, including distribution of resources, was driven by segregation. This resulted in vast inequality that is reflected in land ownership, infrastructure capabilities, water supply, water delivery and sanitation (Wylie, 2001). For instance, during apartheid over 80% of the land belonged to Whites. This influenced present day housing spatial layout and pre-defined housing provision as a highly political issue in today's South Africa. Furthermore, water was considered either public or private property. Private water was linked to land ownership, while public water was controlled by the state. Thus, through 'separate development' the best land and the limited water supply in South Africa was controlled by and for White people (Bate & Tren, 2002). The commercial use of water in rural areas was controlled by racially-exclusive irrigation boards. The majority of South Africa's rural people – its original African inhabitants – were made dependent on rainfall and ephemeral streams in arid areas. Water for their households was provided through limited, state-supported borehole development (Bate & Tren, 2002). This condition is presently reflected in the distribution of land and water resources throughout South Africa (Cullis and Van Koppen, 2007).

2.3 Post apartheid: the emergence of new key concepts and models of decision making

The end of apartheid was officially marked by the inauguration of South Africa's first Black president, Nelson Mandela, who led the African National Congress (ANC) to a victory in South Africa's first non-racial democratically held election in 1994 (ANC, 2008). This shift in power led to the political freedom of the Black and Coloured population, which could be witnessed by the dramatic influx of the Black population moving into the urban core (Landman, n.d). This brought many hopes for the Black people of South Africa as many promises of equality and services for all came from government leaders. Planning would now be an instrument to further equality. The enactment of the Reconstruction and Development Programme came about as part of a mandate to correct the inequalities of the past whereby the White population controlled the land and resources in a new reign of equality and integration (Government of South Africa, 1994). From this emerged key concepts such as "public participation" that had increasingly dominated planning practice in the Western world since the 1960s (Chambers, 1974).

After a long history of suppression of the Black population via top down decision making processes, the new South Africa was crafted under the watchful eye of the United Nations and the World Bank. They brought with them dominant Western decision making processes that rapidly flooded literature, research and planning practice in South Africa (Bond, 2000). For instance, one key concept that had been developing in the Global North was that of decentralizing the decision making process via "stakeholder participation" which advocates engaging people in the community who have a vested interest in the subject matter (in this case, a resource or land use issue). It is believed that engaging community members will ultimately result in more equitable results (Ostrom, 1990). This, according to the United Nations, is essential to achieving "good governance" which has emerged as another key concept in the rebuilding of the new South Africa. The United Nations defines 'governance' as "the process of decision-making and the process by which decisions are implemented (or not implemented)" (United Nations, 2009, paragraph 3). The UN describes good governance as being participatory, consensus oriented, accountable, transparent, responsive, effective and efficient, equitable and inclusive and follows the rule of law (United Nations, 2009). It assures that corruption is minimized, the views of minorities are taken into account and the voices of the most vulnerable in society are heard in decision-making. It is also responsive to the present and future needs of society (United Nations, 2009).

2.4 Plan monitoring and evaluation theory and practice

The conception of plan evaluation arose in the 1950s and 1960s when the RCM dominated planning practice (Hambleton & Thomas, 1995). In adherence with the RCM, evaluation was also a highly rational, technical, structured process. Early techniques focused on optimization of impacts and out of this grew the first generation of planning tools. For instance, the Cost Benefits Analysis (CBA) dominated planning practice for many years as it sought to measure monetarily the costs and benefits (or hindrances) generated by a plan or policy.

Evaluation evolved further when, in 1981, there was an increased emphasis on judging the quality of planning outputs (Seasons, 2009a). This meant that rather than simply being satisfied that a result had occurred, there was greater recognition in the value of evaluating the entire planning process. In response to this, planners turned to summative forms of planning (see Table 2).

Once again, two new schools of thought surfaced in the early 1990s as there was a call for improvement to evaluation methods. In 1997 planning theorists examined how new technologies such as Geographical Information Systems (GIS) had to be considered in the evaluation phases on planning (Seasons, 2009b). This led to an increased emphasis on both impacts and outcomes, resulting in what planners called the “conformance based approach” to planning (Faludi, 2000). Conformance based approaches to planning focus on the link between the plan intent and on the ground results, attempting to determine whether or not the result of the plan adheres to that which is drafted in the Official Plan or Master Plan.

Yet, it became increasingly obvious that more is needed than just knowing whether or not the plan was technically implemented. The answer to this need was “performance based approaches” to evaluation. Performance based approaches grants greater significance to the actual process of planning as opposed to a strict evaluation of results. These theorists (Faludi, 2000 and Alexander, 2006) believe that the exercise of making a plan does not have to be precise to create valuable change or to influence decision makers. It is a more reflective approach to plan evaluation that values intangible, non-market forces such as political power and values. Performance based evaluation relies on exercises such as scenario building and integrated evaluation as part of the planning process.

Present day models take into account features that the rational model left out. Rather than viewing the evaluation process as simply a technical, scientific process, intangible characteristics are considered during monitoring and evaluation of the planning process. Features such as local knowledge and political influence are considered valuable aspects of plan evaluation (Seasons, 2009a).

Even today not all planning theorists agree on approaches. Lichfield (2006) promotes an emphasis on the fluidity of the planning process while Hoch (2002) takes a more practical, results oriented view because he believes that this better reflects how planning actually transpires (Seasons, 2009a). At the same time, Seasons (2009a) stresses that there must be a tolerance for ambiguity and uncertainty in the planning process. He goes on to say that with the emergence of concepts such as results based management (RBM) and return on investment (ROI), public sector planners are expected to show results for their work and because of this, evaluation is instrumental in guiding the decision making process. This is accomplished by illustrating how effectively the programs satisfy the intended goals and objectives.

Table 2: Characteristics of formative and summative evaluation (Seasons, 2009a)

Type of evaluation	Characteristics
Formative	<ul style="list-style-type: none"> • Occurs early in the planning process and mid-program cycle • Used to refine and assess the plan • Delivers early feedback for plan modification • Typically internally driven
Summative	<ul style="list-style-type: none"> • Occurs after plan completion • Typically externally driven • Focus on outcomes • Objective

As part of the evaluation process, planners rely on carefully chosen indicators. From this has sprung a new school of thought (see Seasons, 2009 and Hoering & Seasons, 2005) on the best method of selecting appropriate indicators that will provide required information without burdening already stressed departments with additional work loads. The indicators are checked and updated on a regular basis through a monitoring process which tells whether or not progress is being made toward the goals and objectives of the plan. This continuous assessment and evaluation provides feedback for plan improvement to allow for alteration in order to satisfy the 3 E's (efficiency, effectiveness and equity).

Plan evaluation, which Seasons (2009a) claims is a relatively new field of study for planning theorists, is gaining momentum in practice as planners must tackle increasingly complex global issues. With limited economic resources and urgent environmental concerns, it is essential that planners efficiently reach the goals of the plans.

Countries in the Global North may be ahead of their counterparts in the Global South in the evaluation process but this does not mean that every municipality is incorporating evaluation into their departments. This is due to a number of reasons such as capacity and the fact that evaluation may be threatening for decision makers since it may reveal that politicians' promises are not being met and dollars are being spent carelessly. For these reasons, the dynamics of the workplace are essential to successful plan evaluation (Seasons, 2009b).

For the past number of years, countries in the Global South have been increasingly asked by donor agencies to measure performance in order to demonstrate more effective and efficient use of resources. While for the most part, this has been programme specific (e.g. HIV/AIDS, malaria, poverty eradication), there is an emerging preference among donors for city-based monitoring and evaluation through city projects (such as programs led by the United Nations). However, it is a challenge for municipalities in the Global South to achieve the desires of international actors. Evaluation takes time, expertise, money and human resources. For these reasons, many countries (in both the North and the South) may recognize that plan evaluation will help tackle planning problems but they may not have the capacity or resources to engage in an evaluation process. If the Global North, with its rich resources (economic and capacity) struggle with this area, it should be obvious that it will be a challenge for Southern countries that often lack the skills and funding to conduct proper evaluation. In this case, making requests to appease development funders may result in wasted time and precious funding. At the same time, international actors rightly require evidence of achievement. Ultimately, it has been noted by Seasons (2009a) that there is a need for further study in the field of evaluation in the planning process. A balance must be met whereby the most vital results can be evaluated in an efficient manner.

2.5 South African water resource management theoretical framework

South African water resource distribution and management mirrors the historical inequality reflected in South African planning practice. Cullis and van Koppen (2007), for example, show how inequality in access to water resources in the Olifants River Basin almost perfectly mirrors South Africa's gini coefficient on income inequality. They also show how this inequality is reproduced on a racial basis whereby White commercial farmers, industrialists and municipalities control all water in the basin, whereas the vast majority of residents are poor, Black rural residents. It has been stated earlier that the spatial distribution of resources in South Africa was allocated according to race.

Furthermore, planners attempted to copy the high modern development undertaken in the Global North following the end of World War II. Certainly, water was required to build and sustain the White run industry that built the economic base of South Africa before and during apartheid. Water was required for economic activities in South Africa, such as mining and the many years of agriculture that resulted in a world-renowned wine industry.

It is important to recall that the modernization efforts occurred in primarily White areas – areas reserved for ‘non-whites’ were either left without or only provided with minimal basic services such as water supply and sanitation (Wylie, 2001). Furthermore, while more than 500 large dams were built between 1910 and 1989 to service White-owned farms, mines and industries, Blacks and Coloreds (i.e. those being of mixed-race) were physically removed to arid lands and barren townships that limited both their quality of life and economic opportunities (O’Meara, 1996). Many scholars have written extensively about water as a reflection of poverty in South Africa (Bate & Tren, 2002). Yet, there have been numerous attempts to correct this imbalance since the first post-apartheid government passed legislation making access to sufficient water of sufficient quality a Constitutional right. Subsequent legislation (e.g. the Water Services Act of 1997; the National Water Act of 1998) has attempted to provide a framework for delivering on the promises laid down in the Constitution. After vast inequality for decades, the concept of water and services for all became a symbol of progress towards a just society.

However, South Africa has profoundly complicated water resource management issues. Unpredictable rainfall and escalating demands on limited supplies are creating complex problems for engineers. Sustaining what has already been built (again, representative in spatial inequality) presents its own set of challenges. Since the end of apartheid, there has been a dramatic influx of people into urban areas. It is predicted that 60-80 million people will live in South Africa by the year 2025 (South Africa, 2008). At the same time, experts predict that water supplies are only sustainable until 2025 (Pallett, 1997). Not only have Black South Africans been moving into cities, but illegal immigrants from other politically unstable countries in Africa (such as Zimbabwe) are expanding the already overpopulated informal slum settlements close to township areas. These areas are already without basic services such as water delivery and sanitation and the infrastructure to manage the existing population is not adequate. How to deliver on the promise of water for all is a particularly challenging exercise for water engineers and city planners.

At the same time, there is a strong desire to correct the errors of the past; but, how to proceed practically given the almost unfathomable depths of the problems? For a start, the strategy of the Federal Department of Water Affairs and Environment (DWAE) is to create greater participation in the planning

of water resources. They have established nine Catchment Management Agencies (CMA's) in the belief that decentralized decision making and greater stakeholder input will result in more equitable distribution of water and services moving forward. This process is currently in various stages of implementation with only one CMA currently operational. Other areas in South Africa are prolonging the CMA process because of the complex problems resulting from decades – even centuries – of social, political and economic discrimination (O'Meara, 1996).

While this process is currently under investigation for effectiveness, it is important to point out that according to DWAE, each CMA consists of a set of 'stakeholders', among them, municipalities (in all their complexity), commercial farmers who compose the membership of South Africa's many irrigation boards, rural areas and towns, and the natural environment. Each stakeholder has a legal right to water, but the distribution of water among and within these groupings is not mandated under the direction of DWAE. As a result, dominant actors – such as cities, mines, industries and commercial farms – that are better resourced and organized continue to command the lion's share of the resource. To help counter this, DWAE has designated 'emerging farmers' as a new group of stakeholders who comprise those formally disenfranchised by the apartheid state and who now must be assisted with both land and water resources in the effort to right the wrongs of the past.

With regard to poor urban, peri-urban and rural dwellers and stakeholders who cannot speak for themselves, the government has created through legislation 'the reserve'. This is the amount of water that must go first to all South Africans irrespective of their ability to pay for the resource ('free basic water'), and second to the natural environment in order to sustain the resource base in perpetuity. Only after these 'stakeholders' have their water provided for them can water then be competed for on a commercial, 'best use' basis (Government of South Africa, 1998).

The interaction between historically-based realities on the ground and the ideals of a more equitable, efficient and ecologically sustainable society envisioned in new legislation, policy, plans and programs creates an array of challenging issues for those responsible for delivery of services. The importance of effective and integrated planning, implementation and management is even more apparent when one considers the increase on water demands expected in the future due to the possible consequences of climate change on these water resources (see De Wit & Stankiewicz, 2006).

Chapter 3

Methodology

3.1 Qualitative Research

Qualitative research relies on participant views to establish the meaning of a phenomenon. Research involves emerging questions and procedures, data collected in the participant's setting, data analysis inductively building from particulars to general themes, and the researcher making interpretations of the meaning of the data (Creswell, 2009).

3.2 Research methodology

3.2.1 Phase one: Canada

Research began in Canada by obtaining and analyzing all relevant documents that have been used to guide South African planning practice since 1994. This included all relevant acts and planning documents at the federal, provincial and both district and local municipal levels of government. For example, the Integrated Development Plan (IDP) that has been drafted by the Local Municipal government was reviewed, including the relationship of these documents to provincial and federal policies. Other documents such as brochures and information compiled by the Municipality of Stellenbosch and private sector planners were also reviewed. These documents were obtained from various websites such as those from government, NGOs, professional associations, institutions and think tank bodies. Other key documents such as GIS photos and maps of land and water use patterns were assessed in order to establish a thorough understanding of the geography of the study area. . Notes were taken throughout this process in order to determine key concepts that are guiding the planning process and emerging relationships.

Initial key decision makers within the Dwars River Valley area were identified from the reviewed documents. For instance, municipal managers, key political leaders and planners were identified from the IDP and from the municipality's website. Building on this background research, two semi-structured interview guides were designed to assist with answering the key research questions (see Appendix B). One of the interview guides was aimed at "decision makers" while the second was designed for stakeholders who have a direct interest in the study area. In addition to the interview guide, documents were drafted that assisted study participant contact. These include an email recruitment letter, an

information letter and consent form, a telephone script recruitment letter, and a participant feedback and thank you letter (see Appendix C).

3.2.2 Phase two: South Africa

Research was conducted within the planning department at the Municipality of Stellenbosch. The researcher read all files and applications for land development that were relevant to the Dwars River Valley. Contact details for applicants and those who oppose the developments were available within the public files. Building on the initial list, a new inventory emerged of potential study participants. The next step involved speaking with academics who are well versed with issues in the study area. The academics not only provided a background to the study area but also suggested key individuals who have been actively involved in the study area. From this a new catalog materialized that provided a foundation to begin interviews. The list was constantly adjusted as research was conducted, leaving room for participants to advise on other key stakeholders who should be interviewed.

3.2.3 Study participants

In total, 54 individuals were interviewed. Figure 1 illustrates the categories of involved participants. The number beside the group name indicates the sample size of the particular group.

Figure 1: Study participants

Decision Makers (18)	Stakeholders (30)	Developers (6)
<ul style="list-style-type: none"> • Group 1: Planners for the Municipality of Stellenbosch (n=6) • Group 2: District and Provincial Planners (n=3) • Group 3: Stellenbosch Municipality and Federal water engineers (n=3) • Group 4: Stellenbosch Municipality Department Managers and Councillors (n=6) 	<ul style="list-style-type: none"> • Group 1: Owners/CEOs of surrounding farms (n=5) • Group 2: Community leaders (n=6) • Group 3: Community NGO's and activists (n=11) • Group 4: Farm workers including managers (n=8) 	<ul style="list-style-type: none"> • Group 1: CEOs and high level managers from Boschendal consortium, and affiliates (n=4) • Group 2: Private planning consultants (n=2)

3.2.4 Data collection

A semi-structured interview style was utilized, allowing room for participants to freely elaborate on various key points that they deemed important through the use of strategically placed open ended questions, with specific probes placed to assist participants with formulating a response. All interviews were audio-recorded and notes were taken during the process with a time frame ranging from 10:07 to 2:05:46. In addition to the formal interviews, research involved participant observation which involved strictly a “watching and listening” role as opposed to that of an active participant in the discussions. Site visits were also conducted as farm managers offered tours of local farms. These tours involved in-depth descriptions of all aspects of farm management. For instance; water access points, including irrigation, domestic water use, sanitation, requirements for various crops, and how energy is conducted were all

explained during the tours. Additionally, the researcher extensively explored the area by bicycle and car in order to fully understand the geographical and historical context of the study area. The researcher also visited museums, taking detailed notes that were later used to augment the study area's historical overview.

Throughout this research, observations were audio-recorded and documented with field notes. A research journal was utilized to keep track of thoughts regarding the process, including emerging ideas. Numerous photographs and video were taken to assist with later analysis. Notes were reviewed weekly and audio-recordings were listened to bi-daily in order to build on opposing arguments during the interview process. Memoing (Miles and Huberman, 1994) was also used to capture reflections, emerging relationships, and themes.

3.2.5 Data analysis and strategies

All audio-recordings of interviews were transcribed, with the exception of the longest interviews whereby notes were drafted that summarized key points, and the time of comment was recorded. Interviews were coded using a combination of descriptive, interpretive, and pattern codes (Miles and Huberman, 1994). Reviewing the data between interviews and coding allowed key themes to emerge that resulted in key categories (Glaser and Strauss, 1970).

In addition to manual analysis, interviews were inputted into NVivo, a qualitative data analysis software. Nvivo assisted with data analyses through the use of categorizing data into specific nodes and classifications. Key concepts and common threads developed and were compared to those from the manual analysis.

All data was analyzed using a grounded theory approach. Grounded theory allows for common themes and concepts to emerge from all documents, interviews, and field observations, which may be used to build a new theory (Glaser & Strauss, 1970). At the same time, the grounded theory approach was informed by Flyvbjerg (2003) who states that power will ultimately inform what is considered rational.

Documents were reviewed for both consistent and contradictory information by use of the constant comparison method to data analysis. This approach “make[s] probable the achievement of a complex theory that corresponds closely to the data, since the constant comparisons force the analyst to consider much diversity in the data” (Glaser & Strauss, 1970, pg. 114). The constant comparison method continuously compares incidents with each other or with properties within a category, taking into account similarities and differences (Glaser & Strauss, 1970).

3.3 Role of researcher and ethical considerations

The research abided by the terms presented by the Office of Research Ethics (ORE) at the University of Waterloo. The ethics review and clearance process is intended to ensure that projects comply with the Office's Guidelines for Research with Human Participants (Guidelines), the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans, and guidelines of various professional organizations, and that the safety, rights and welfare of participants are adequately protected (University of Waterloo, 2009a). Since this research was conducted in South Africa, it complied with the ORE in their mandate to “determine if there are any regulations and respond to the requirements (e.g., collaborator within the country, submission of an application) for their research study” (University of Waterloo, 2009b, paragraph 1). Although there are guidelines for conducting clinical studies with human participants in South Africa, there is no strict guideline for conducting other types of qualitative research such as that which is outlined in this proposal. The relatively new National Health Research Ethics Council (NHREC) is expected to develop a leadership role in regulating human subject’s research in South Africa and is in the process of establishing a formal Research Ethics Committee (REC) accreditation system for its many local RECs (Harvard School of Public Health, 2008). This was not in place at the time of research.

The research questions and all other documents for the interviews (interview guide, participant information – consent letter for interview, consent form to participate and feedback forms) went through the approval process required by the ORE.

3.4 Strategies for enhancing credibility

The researcher was awarded an Association for Universities and Colleges (AUCC) Students for Development scholarship. Funding is allocated to the AUCC by the Government of Canada’s Canadian International Development Agency (CIDA). This deeply enhanced the credibility of the researcher as it required an attachment to a local institution in the study country. In this case, the researcher had an official affiliation with the University of Western Cape’s newly established Water Institute. In addition to the AUCC affiliation, the researcher obtained “visiting researcher” official status at the University of Stellenbosch’s School of Public Management and Planning.

3.5 Theoretical framework

This research utilized a grounded theory approach. Creswell (2009) defines grounded theory as “a strategy of inquiry in which the researcher derives a general, abstract theory of a process, action or interaction grounded in the views of the participants.” (p.13). It is inductively derived from the study of the phenomenon it represents whereby one does not begin with a theory and then prove it, but begins with a study and what is relevant is allowed to emerge (Strauss & Corbin, 1990). It involves the constant comparison of data to maximize the analysis of similarities and the differences (Glaser & Strauss, 1970).

At the same time, Flyvbjerg’s propositions of power and rationality acted as a guide to formation of the results. In “Rationality and Power” (2003), Bent Flyvbjerg determined that situations designed to serve the public interest were in fact deeply embedded in the hidden exercise of power and the protection of special interests while claiming that this was modernity and democracy in practice. Flyvbjerg (2003), following the post-modernists such as Foucault and Till, reinterpreted Francis Bacon’s “knowledge is power” by claiming that power determines what accounts for knowledge and for the kind of interpretation that attains authority as the dominant interpretation. Put differently, power serves only the knowledge that supports its purpose while ignoring the knowledge that does not (Flyvbjerg, 2003). How, then, do Flyvbjerg’s assumptions regarding forms of power and their influence on planning processes and outcomes reflect the stated effort to establish equality and integration through spatial planning in post-apartheid South Africa? Since most planning efforts across issue areas and socio-spatial scales rely on theoretical frameworks founded on pluralist models of politics – such as Ostrom’s ‘participatory’ framework and the United Nations’ and donor governments’ support for ‘good governance’ – how do these models explain outcomes of delivery? Do they contrast with or complement Flyvbjerg’s ideas regarding power? As stated at the outset of this section, this thesis does depend on one theoretical framework for its analysis. Rather, it will be conducted through a grounded theory approach while cognizant of the tension between power-political and participatory/pluralist approaches to planning and practice.

3.6 Limitations

The researcher was unable to attend a public participation meeting while in South Africa. Clearly being able to witness a public meeting firsthand would have enhanced the results. To compensate for this, every effort was made to interview a wide selection of stakeholders in order to obtain a vast diversity of perspectives.

Chapter 4

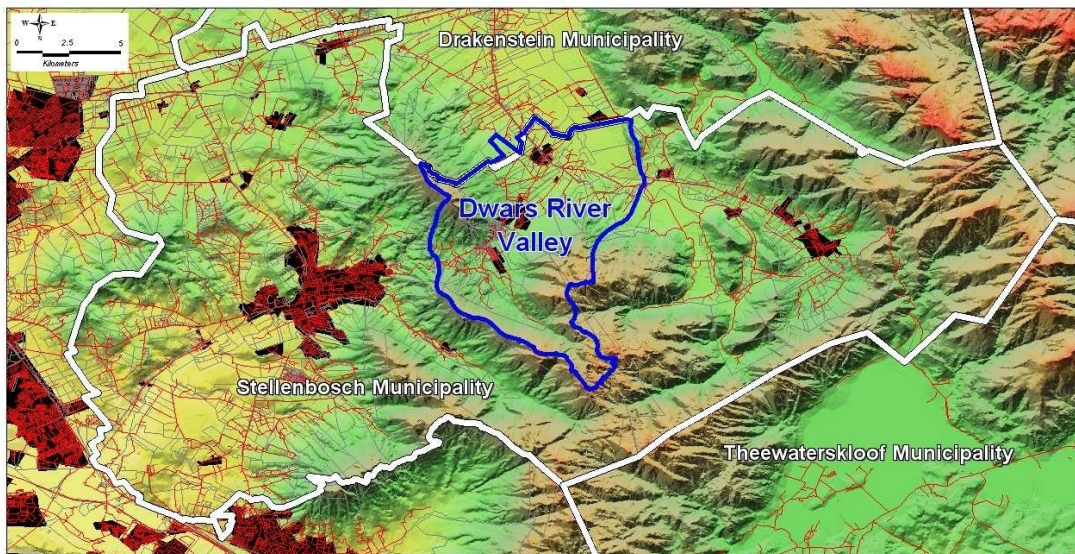
Case Study: Dwars River Valley

4.1 Site description

The Dwars River Valley (DRV) is located in the eastern part of the Municipality of Stellenbosch, Province of the Western Cape, South Africa. Its geographical coordinates are 33° 55' 0'' South, 18° 51' 0'' East. The Western Cape is made up of one metropolitan municipality (The City of Cape Town), and five district municipalities subdivided into 24 local municipalities (see Appendix A).

The DRV consists of the catchment area of the Dwars River, a tributary of the Berg River and is surrounded by the Simonsberg mountains to the north-west, the Groot Drakenstein mountains to the south-east, and the Jonkershoek mountains to the south. Not officially a demarcated area, it rests between Drakenstein Municipality, Stellenbosch Municipality and Theewaterskloof Municipality (see Figure 2: Dwars River Valley geographical context) and is situated in both wards 3 and 4, each with their own Municipal Councillor.

Figure 2: Dwars River Valley geographical context



The magnificent mountainous range, fertile land and abundant supply of water made it very attractive for European farmers when they first arrived in the late 17th and early 18th centuries. Alas, this

marked the beginning of years of struggle for the San and the Khoikhoi who were the original settlers of the land.

The Khoikhoi and the San were the first known inhabitants of the DRV. The San were hunter/gatherers and the Khoikhoi were cattle herders. By the time the Dutch arrived in the late 17th century, the Khoikhoi were the sole occupants as conflict between the two groups resulted in the San being forced over the mountains to the rest of Southern Africa. Throughout the 17th and 18th century, they were dominated under colonial rule and eventually lost the ability to sustain themselves as they were forced to work on farms and were paid “some form of wage” (van der Waal, 2005). Khoikhoi labour, along with that provided by slaves from the East Indies, was instrumental in building the wheat and wine industry. This arrangement existed until they became free in 1834, at which time mission stations were established that eventually formed the existing villages of Pniel, Johannesdal and Lanquedoc. The Khoikhoi population declined when it was impacted by small pox and gradually relations with other ethnic groups emerged over time. Descendants of these mixed race relations are known today as a distinct cultural group unique to the Western Cape called the “Cape Coloured”. While the term “Coloured” may be unclear, and often unsettling, to North Americans because it is often considered racist in that society, South African Coloured people are very proud of their culture and history of freedom from slavery. Coloured South Africans had more rights than African people during apartheid: many were educated, and have very strong religious and kinship ties. They speak Afrikaans, the language of non-English White settlers known as Afrikaners, and have a rich culture of music, dance and food. Still it should not be assumed that all people of Colour had the same rights and are of the same socio-economic class. Just as all White people are not equally educated and privileged, not all Coloured people have and do receive the same entitlements. Social and economic dispensation varies between and within communities.

Work in the valley is primarily seasonal, which contributes to a host of social problems that has resulted in much concern for the actors who are trying to improve the increasing problems of alcohol, drugs, and crime in the area.

4.2 Geographical context and demographics

The Municipality of Stellenbosch is situated in the Cape Winelands District Municipality in the province of Western Cape. The total 2007 mid-year population was 115,874, making it the third most populous municipality in the Cape Winelands District (Western Cape, 2007). The municipality covers 831 km² and has a population density of 139 people per square kilometre; significantly higher than the

district's density of 29 people per square kilometre which reflects a higher level of urbanization than in the rest of the Cape Winelands District (Western Cape, 2007). The average age of a Stellenbosch inhabitant is 28.5 years while the median age is 25.9 years (Western Cape, 2007). Situated in the fertile Jonkershoek river valley, Stellenbosch is the centre of South Africa's wine industry, boasting a mild Mediterranean climate with rainy winters and hot summers. The Stellenbosch economy contributed R3.02 billion and accounted for 22.8 per cent of the Cape Winelands economy in 2005, making it the second largest contributor after Drakenstein's 26.3 per cent (Western Cape, 2007). The regional gross domestic product (GDPR) in 2005 reached R3.02 billion and contributed 2.01% to the Western Cape economy in 2005. The total Stellenbosch municipal revenue budget for the financial year 2007/08 was R590.8 million. At 61 per cent, own revenue is the largest source of revenue for the municipality (as opposed to external revenue) (Western Cape, 2007). The Stellenbosch economy is underpinned by manufacturing, finance and business services. However, the Stellenbosch economy remains relatively diversified. There has been a significant increase in the share of finance and business services, wholesale and retail, catering and accommodation, and construction. The contribution from agriculture, forestry and fishing, and the manufacturing sector declined from 11.2 per cent in 1995 to 10 per cent in 2005 (Western Cape, 2007). A distinguishing feature of the Municipality is that it is internationally known for its award winning wine production.

The Municipality of Stellenbosch is diverse and vibrant with eclectic culture, historical features, and towns that are appealing to both tourists and local residents. The regular features of any town are there: movie theatres, art galleries, fitness facilities, town parks, sport fields, grocery stores and restaurants. Yet, the municipality continues to be noticeably spatially divided by race, with areas such as the township of Kayamandi where the majority of people who reside there are poor, Black, and lack access to basic services such as water and sanitation. These areas are a stark contrast to the areas where mainly White South Africans live in gated homes with swimming pools and have Black, female maids and male gardeners. These 'service workers' reside in the under-serviced townships and are well aware of inequalities based in race (Cain, 2008).

The State of the Environment report indicated that the Western Cape and the Northern Cape will be severely impacted by global warming and climatic change (Western Cape, 2007). The study highlights the risks of the changing climate and rainfall on areas that are becoming warmer and dryer. This is important for the Municipality of Stellenbosch because it is largely dependent on its environment for several economic activities, including agriculture, tourism and leisure activities. Therefore, municipal

government has elevated environmental planning and protection as its constitutional mandate (Western Cape, 2007).

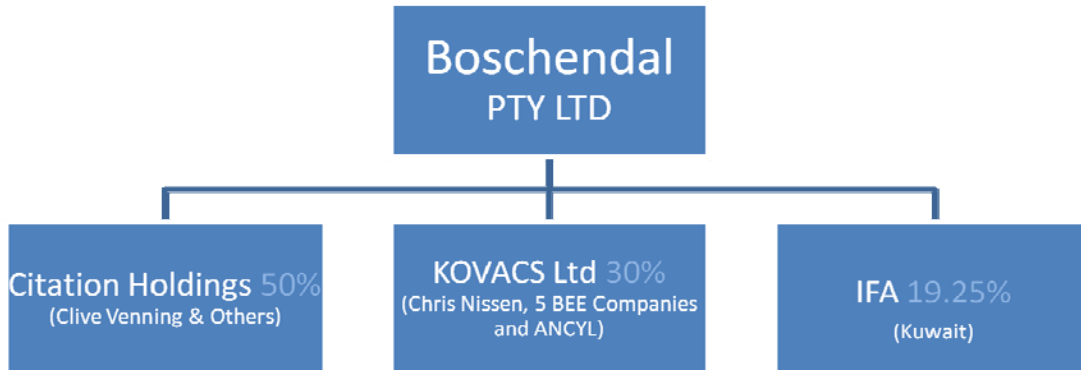
4.3 Settled land in the Dwars River Valley

4.3.1 Boschendal

The bulk of the land in the Dwars River Valley is known as “Boschendal”. In 1860, the VOC Administration granted land called “Bossendal” (currently known as Boschendal) to Huguenot farmer John le Long. He sold it seven years later to Abraham de Villiers in 1715 who joined it with his existing 51 hectares. In 1917, Abraham’s brother, Jacques, purchased the land and owned it until 1879. This was a year before a devastating outbreak of phylloxera that destroyed all the vineyards in the valley and devalued the land. Although the land was not considered valuable for growing grapes, a local nursery keeper, Henry Prickstone, saw a business opportunity in the deciduous fruit industry. He approached the prominent gold and diamond mining magnet, Cecil John Rhodes, to acquire it in 1879 along with numerous other farms. Rhodes used the Boschendal land to establish the largest deciduous fruit export business in the country, called Rhodes Fruit Farms (RFF). While Cecil John Rhodes died in 1902, the land continued to be owned jointly by the Rhodes Trust, De Beers and Sir Alfred Beit. In 1925, De Beers owned the land exclusively until 1936. From 1936 until 1969, it was owned by a number of owners until it was purchased by Anglo-American Farms (AAF). Anglo-American launched a range of very successful wines under the name “Boschendal”, restored properties, opened a restaurant, and offered tours of the wine cellars and moonlight picnics (Boschendal, 2007).

In the late 1990’s AAF decided to focus on its mining portfolio. So, in 2003 they sold the Boschendal land (2242 ha of the entire valley and 9500 ha of land) for R323 million to a consortium of owners, led by Clive Venning, a South African investor. The consortium was made up of Venning, a group from Kuwait, a Black Economic Empowerment (BEE) group (which is led by Chris Nissen, an ANC political figure) and “others”, as seen in Figure 3: Boschendal corporate ownership in 2003.

Figure 3: Boschendal corporate ownership in 2003.



Documents written by the Boschendal group and Anglo American state that they wanted to recognize the historical role that their farm workers played in the development of their businesses over the years. Therefore, before the sale occurred, AAF arranged for their workers to receive their own title deed to a house which they built with their planning and architectural firm, Dennis Moss Consulting. The homes were built beside the existing homes in the community of Lanquedoc. This is a very controversial issue as there are basically two views on what happened. During apartheid, only White people could be commercial farmers and they subsequently owned all the land. AAF and Boschendal claim that removal of the farm workers was to mend historical conflicts between the company and the local people, therefore offering the farm workers an opportunity to finally own land. However, critics claim that the removal of farm workers was due to concern stemming from potential uproar in post apartheid South Africa for land rights. Therefore, it was necessary to relocate the workers since the use of Boschendal land was going to shift from agricultural land to real estate featuring “gentlemen’s estates”. Some have also stated that AAF supported the removal of the farm workers to prevent the potential of claims to houses or land (van der Waal, 2005).

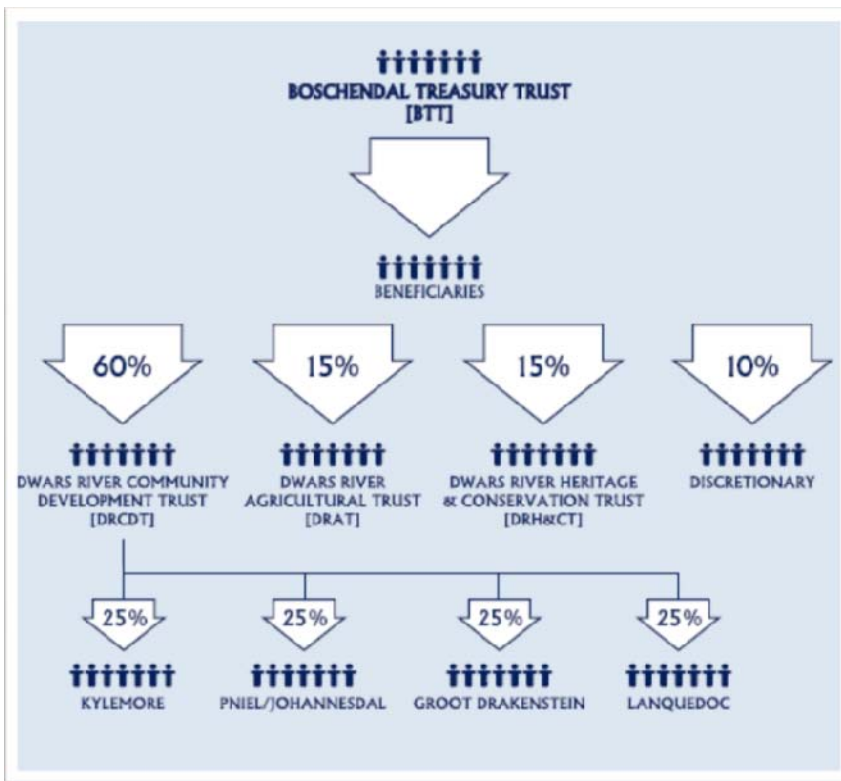
Currently, the Boschendal land makes up the majority of land in the DRV with the communities of Lanquedoc, Pniel, Johannesdal and Kylemore on its perimeter. Changing markets have forced the owners of Boschendal to reinvent their business portfolio. Real estate and cattle is replacing agriculture

for profitability and the DRV is a preeminent location as the globally acclaimed wine industry attractively positions the area for investors. It is for these reasons that the owners of Boschendal are in the process of constructing a high end residential estate, called the “Founders Estates”, which is phase one of a proposed two phased project. Phase one involves protection of 450 ha of agricultural land and restricted development to 18 properties of 20 ha each, selling at R14-25 million each (van der Waal, 2005). The owners of the homes will also have a 1% interest in the Boschendal winery and 1% interest in the historical Rhodes cottage, which will become a club house for the Founders Estates residents (van der Waal, 2005). Three hundred and eight nine smaller estates of 1-10 ha are to be sold at R1.5-7.9 million each (van der Waal, 2005). Phase two features a walkable community design with a boutique hotel, a retirement villa, sports club, shopping plaza, and health clinic. There are high stakes in this venture as revealed by marketing efforts: Gary Player, South Africa’s golf legend, is a key spokesman for the Boschendal real estate development and will own one of the Founders Estate homes.

Part of the deal between AAF and the Boschendal group was that the new owners had to agree to fulfill a corporate social responsibility role. What emerged from this was an agreement to put into place the Boschendal Sustainable Development Initiative (BSDI), created by private planning consultant Dennis Moss, the Boschendal group, Anglo American and “Two Rivers Farms”, which also purchased land from Anglo American in 2003.

The BSDI is positioned as a “bioregional planning model” whereby development promotes economic growth while protecting the environment and contributing to the social well being of the surrounding “previously” disadvantaged communities. The surrounding communities are deemed to benefit from the Boschendal Treasury Trust (BTT) whereby each community will receive 5% of the value of the Founders Estate property upon the first transfer to a new owner and 0.5% of the value of any subsequent transfers in perpetuity (DMP, 2005). The economic scheme of the trust is elaborate as seen in Figure 4: Economic structure of the BTT. Money from the trust is meant to support business development in the local communities whereby an individual must present a convincing business plan for approval among the various “holders” of the trust. The trust will be managed by a bank in order to ensure accountability of funds.

Figure 4: Economic structure of the BTT (DMP, 2008)



In order to receive any of the potential finding, the local communities had to approve phase one of the Boschendal development. Additionally, the local communities have been promised a section of land: Pniel was offered land to have access to a 'silver mine' on Simonsberg, Kylemore was promised a piece of disputed land, and Lanquedoc was promised a new housing development project and agricultural development (van der Waal, 2005).

4.3.2 Lanquedoc

In 1902, Cecil John Rhodes commissioned Hebert Baker to design and build homes for the people who worked on (then) Bossendal. Baker designed 100 spacious homes in the Cape Dutch architectural style that is now proudly redeemed for its historical significance. While the population of farm workers increased over the years, not all of the people who worked on the Boschendal land lived in the Baker homes: by 2003 the majority of workers lived on Boschendal land in homes allocated for farm workers.

While some say that Rhodes built the homes for his workers simply because he was a caring person, others feel that it was a necessary move in order to maintain a working base at a time when the thriving mining industry attracted low-skilled workers (van der Waal, 2005).

Lanquedoc was a pristine area with oak lined streets, however heavily controlled by whoever owned the Boschendal land at the time. The different owners attempted to mold the farm workers into “upstanding citizens” through very strict rules that were enforced by religion. For instance, Rhodes paid his workers a wage as opposed to the common practice of alcohol, known as the ‘tot’ or ‘dop’¹ system or shortly ‘soppie’ system (Williams, 1980).

As mentioned above, AAF built homes for the farm workers who were living on their land prior its sale to Boschendal in 2003. These homes were built on 39 hectares of land that is adjacent to the historical section created by Baker in 1902. AAF provided start up financing and the Department of Land Affairs and Boland Municipality agreed to pay the remaining amount (this was prior to the reshaping of boundaries that placed the land under Stellenbosch Municipality’s borders). By the end of the project, AAF paid R52.14 million, Boland District Municipality paid R4000/house and the Department of Land Affairs provided 605 subsidies of R16, 000 (van der Waal, 2005). A total of 611 houses were built and the first residents moved from the Boschendal land in February 2004 (see Figure 5: Present day Lanquedoc).

¹ The “dop” system described payment in alcohol rather than a wage. This resulted in children being born with fetal alcohol syndrome and has impacted generations of wine farm workers.

Figure 5: Present day Lanquedoc

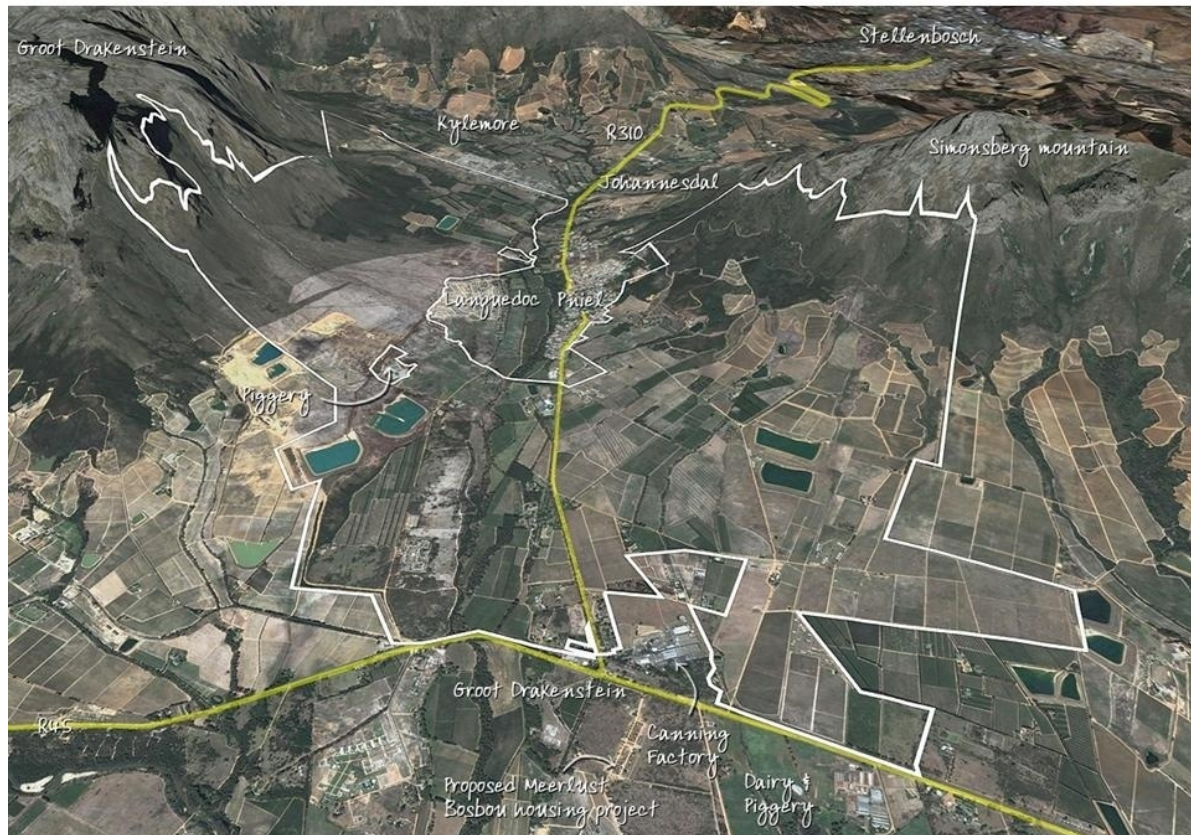


4.3.3 Pniel

In 1834 a farmer donated a piece of land in the DRV to be used as a mission station for the newly freed slaves. They built the Apostolic Union church, which was instrumental in socially shaping Pniel historically and presently. In fact, the name Pniel is derived from Genesis 32:20; spelled “Peniel” in the Bible. It means “The Face of God” and refers to Jacob’s encounter with the angel.

Figure 6: Spatial layout of the Dwars River Valley (DMP, 2008) shows the proximity of Pniel to Lanquedoc, Kylemore, and Johannesburg. All land located within the white boundary is owned by Boschendal.

Figure 6: Spatial layout of the Dwars River Valley (DMP, 2008)



Residents have historically viewed Pniel's social culture as unique compared to the other communities within the valley. Since 1834 Pniel has been heavily influenced by the church: residents were offered an elementary education and were trained to be skilled labourers. They had strict rules and regulations, enforced in a "God fearing" fashion. For instance, they were made to have a neat "proper" garden and alcohol was restricted. The historical influences of religion are noticeable in Pniel today as there is strong social cohesion, with kinship and the church playing dominant roles. They are immensely proud of their history of freedom from slavery. In fact, this is celebrated every year by a "freedom run" which goes from the Drakenstein Prison (formerly the Victor Verster prison that released Nelson Mandela in 1991) to the Pniel church that sits stately on top of the hill, keeping watch over the valley. Since Pniel

residents had more privileges than people from other communities, there are a number of professionals who reside there. Despite these privileges, Pniel residents were not allowed to own land until 1993. Prior to this, it was owned first by the church and then the community which had a governing board. In the 1960s Pniel had its own Area Council which gave the community rights within the national government. In 1987 it was upgraded from an agricultural area to a Transitional Council which allowed for township creation, and subsequently more rights under the apartheid government. This gave more status to the community and identity to the Coloured people of Pniel compared to their Lanquedoc and Kylemore neighbours. This fed into a long history of division between the communities within the valley as there is perception that residents from Pniel think they are superior to people in other communities.

Despite the advantages that Pniel residents obtained, all people were not treated equally within the community: race continued to play a role. For instance in some families, despite the fact that everyone shared the status of being “Coloured”, there are family members who had lighter skin than other members in their family. Variations of skin colour created division within families and communities as people believed that if they had a lighter skin tone, they were superior to their darker skinned family and neighbours. This is mentioned only to illustrate that colour dynamics is not simply a Black/White issue. It was (and is) a very complex historical evolution that has shaped identity, personality, and community relations. The influx of (Black) Africans from the Eastern Cape and elsewhere in Africa contributes to this complexity as people are rapidly moving into the valley, settling in Lanquedoc and establishing informal settlements in Kylemore. The influx of Africans into the area creates a new dynamic because Coloured people and African people were not considered, nor treated, the same during apartheid South Africa. Coloured people had more rights than Africans and received many services that Black people did not. Thus, prejudice can be found between Coloured individuals and Black people. This is very important because very often White people (especially White foreigners) may lump all people who are not White into one category. But, there are clear prejudices at play that continue to influence social structures and dynamics.

4.3.4 Johannesburg

Johannesdal was formed when a few farm workers from Pniel purchased land there. Johannesburg is essentially grouped with Pniel in discussion and documentation as it shares much of the same social structure as Pniel.

4.3.5 Kylemore

Kylemore was formed in the early 20th century when farmers from Pniel first settled there. Despite the proximity of the communities, people from Kylemore did not receive the same privileges as Pniel residents, which contributed to the animosity between the two communities. Despite the variation in privileges, the communities share many similarities. For example, the church plays a dominant role in Kylemore. At the time of this research, there were 19 churches serving a community of 3,560 people.

Kylemore is the first village that appears when one drives towards the DRV from Stellenbosch. Prior to the entrance of the community, magnificent wine farms begin to emerge with their neatly arranged vines leading to large, white estates featuring the famous Cape Dutch architecture where tourists can taste one of many internationally acclaimed wines of the Western Cape region (see Figure 7: Dwars River Valley landscape). Gradually, a road leads off to the right which marks the entrance to Kylemore.

Figure 7: Dwars River Valley landscape



Kylemore demographics are divided between few professionals and a poor majority as many people rely on seasonal farm work. Many of the men in the community travel to other areas in the country to work as labourers on construction sites and return to Kylemore on weekends. Local community leaders, with assistance from a local NGO, have established a number of projects such as a community

garden (see Figure 8: Community garden), a crèche, and a soup kitchen. There is also an NGO that raises money for community projects by way of arts and crafts that are sold at local markets.

Figure 8: Community garden in Kylemore



4.3.6 Meerlust Bosbou

Meerlust Bosbou consists of 67 ha of land that was once a forestry station owned by the Department of Forestry. During apartheid, the government built 35 houses for its forestry workers until they shut down operations at which time they removed all wood from the property but left the 35 houses standing, along with its inhabitants (see Figure 9: Street in Meerlust Bosbou).

Figure 9: Street in Meerlust Bosbou



After apartheid ended, the land was transferred from the Department of Forestry to the Department of Public Works. In 2001, the residents of Meerlust Bosbou formed a committee called the “Groot Drakenstein Housing Forum” (GDHF). The GDHF applied to the Government to have the land formally transferred to the former forestry workers who still live in the homes. The Government supported the transfer as it adhered to the national housing needs that were identified in the Reconstruction and Development Programme. In addition to the transfer, the government felt that the location fit their housing goals and planned to build an additional 600 houses.

In the meantime a European had recently purchased the adjacent farm and formed a group with other local commercial farmers called the “Groot Drakenstein Land Owners Association”, with the intention of stopping the social housing development. The reasons for this seem varied. People who were involved in the GDLOA claim that the development would impact the value of their property. Others accuse them of being racist and simply not wanting a social housing development located beside them.

South African law requires that you “apply your mind”; meaning one must consider every location possible in order to ensure that the proposed area is in fact the best area for your proposed development. In the Meerlust Bosbou case, the judge ruled that since the government and the GDHF had not considered other sites for the development, it was decided that they had “not applied their minds”. Ultimately, the Groot Drakenstein Land Owners Association won their case, the forestry workers did not get the land transferred, and the social housing project was halted.

At this point, Mark Solms, owner of a nearby wine farm Solms-Delta, recognized that the housing need still existed. Mark Solms is a psychoanalyst who, after living many years abroad, returned to post-apartheid South Africa with idealistic visions of owning a vineyard. On his return, he rapidly realized that a feudalistic relationship continued to exist between the farm owners and the workers. Determined to change historical imbalances and believing that eventually the poor will rally for justice, he created a trust called the Wijn de Caab Trust, which represents his farm workers. Mark Solms mortgaged his own farm to allow the Trust to purchase an adjoining farm, Deltameer. Next, long term friend of Solms, Richard Astor, of the New York/United Kingdom Astor dynasty, purchased another adjacent property called Lubeck. The three (Solms, Astor, and the Trust) collectively own the profits of the business. Upon learning of the fate of the Meerlust Bosbou community, Mark Solms proposed an alternative development that involves the residents of Meerlust Bosbou becoming beneficiaries of the Solms-Delta Trust. The partnership between the Meerlust Bosbou residents and the Trust will grant them access to Solms-Delta legal resources that are necessary to make a land claim. They are currently applying for government funding which, they hope, will add to their funding in the establishment of a new village, consisting of homes designed in the Cape Dutch architectural style and sensitive to the heritage of the area. The overall plan is to create an agri-village with 150 homes added to the existing 35 homes presently on the land, for a total of 185 homes on 67 hectares.

The land, currently zoned as agricultural land, will not have to be rezoned because as an owner of a farm, you are allowed to provide housing for your farm workers. In this case, the workers will also be the owners and they will use a portion of the land to grow grapes. The soil is very rocky, which makes for an excellent quality of grape for wine production. Furthermore, since the land is internationally acclaimed for its wine production and beauty, the proposal suggests an eco-tourism element that is meant to benefit the local community, as well as a restaurant featuring historical cuisine. The overall goal of the development is to create a sustainable community which fosters the skills of the local people at the same time contributing to a housing need and economic development in the area. At the time of this writing, this proposal is going through phases for acceptance. Ultimately, it has potential to provide a proper mixed use development that promotes social, economic and environmental sustainability.

4.3.7 Other settlements

While the spatial layout of the DRV primarily involves Boschendal owning the majority of the land with the small communities of Pniel, Lanquedoc, Johannesdal and Kylemore clustered around it,

there are a few settlements that deserve to be mentioned since they contribute to the diversity of the valley.

First, driving from Stellenbosch there are roads leading to a number of wine farms before reaching Kylemore. While some of the farm workers live on the properties, there are many who travel from outside the area. These farms do not seem to be connected in any way to the valley, except in geographical location. In fact, the actual name of the community was unknown to 4 people in the area during informal communication.

At the opposite end of the valley, past Boschendal, there are a couple of more wine farms owned by foreigners, in addition to the one owned by Mark Solms. There is also a guest home that is owned by the descendant of Henry Prickstone.

There are also two informal settlements in the valley which were created when farm workers were evicted from farms. One informal settlement is located across the highway from the Meerlust Bosbou entrance. There are about 15 shacks situated on it. There is also another informal settlement by the graveyard which is located close to the Dwars River.

4.4 Results

South African planning practice has been historically shaped by a top down approach to planning. While the Land Use Planning Ordinance (Ordinance 15 of 1985) (LUPO) and the Regulations for the Black Community Development Act (BCDA) (Act 4 of 1984) allowed for individuals who were affected by a land development to comment on land development applications, the Rational Comprehensive Model (RCM) dominated spatial planning and service delivery.

In 1992, one year after Nelson Mandela was freed from prison and two years before the first democratically held election in South Africa, the world embraced principles from Agenda 21; a comprehensive programme promoting decentralization and a participatory planning approach to achieving economic, social and environmental goals (United Nations Environment Programme, 2009). The South African response to Agenda 21 could be seen in its new policies that were aimed to readdress past injustices. The Reconstruction and Development Programme (RDP) of 1994 is the main socio-economic policy framework aiming to eradicate apartheid discrimination and build a democratic, non-racial, non-sexist future (ANC, 2009). The RDP promotes a people-driven process whereby all citizens have a say in decision making. The Development Facilitation Act (DFA) (Act 67 of 1995) highlights principles of sustainable development in an attempt to protect the environment and promote viable communities

(Government of South Africa, 1995). The DFA, according to the Local Government Transition Act (LGTA) (Act 209 of 1993) forms the basis of integrated planning (Council for Scientific and Industrial Research (CSIR), 2002).

The international trend of “think globally, act locally” shaped South African policy as it was believed that truly democratic and developmental municipal government must be responsible for planning, managing, and implementing sustainable development at a local level (CSIR, 2002). The Promotion of Administrative Justice Act 3 of 2000 (PAJA) makes it mandatory for “public bodies that exercise administrative action to consult parties whose interests may be affected by the intended administrative action, prior to making a decision” (Stellenbosch Municipality, n.d.). The LUPO (1985), BCDA (1984) and the PAJA (2000) formulate the main legal framework within which interested and affected parties are consulted on land development applications that may affect other parties (Stellenbosch Municipality, n.d.).

The participatory planning approach ultimately resulted in a new role for local government and made integrated development planning the primary agent for democratic planning practice. Integrated Development Planning promotes an integrated, participatory approach whereby all sectors and affected individuals must legally be consulted. Compatible with Agenda 21, it is the principle tool for addressing socio-economic needs of local communities and sustainable service delivery (United Nations Economic and Social Council, 2008). It is a process whereby communities are consulted and their concerns are meant to be captured in the IDP, the main tool for carrying public opinion to decision makers. This ultimately is intended to inform all planning, budget, management and decision making in a municipality. Thus, one way of evaluating the effectiveness of the public participation process is by examining the IDP process.

4.4.1 IDP Effectiveness

Section 16 (1) of the Municipal Systems Act (2000) states:

“A municipality must develop a culture of municipal governance that complements formal representative government with a system of participatory governance, and must for this purpose: encourage, and create conditions for, the local community to participate in the affairs of the municipality, including in (i) the preparation, implementation and review of its integrated development plan” (Government of South Africa, 2000).

The Municipality of Stellenbosch's IDP clearly outlines the steps taken to engage the public in drafting the document. According to the IDP, communities and sectors received an invitation via the local press, community organisations, pamphlets and notices in public places. These were communicated in all local languages and was facilitated by hosting public meetings, hearings, workshops, mayoral breakfast sessions, sector engagements and ward consultations" (Municipality of Stellenbosch, 2009). The final IDP document opens with a statement from the mayor where he states:

"As always, integrated development planning requires sustained input from civil society. We are still dependent on the views and needs of our people, and the guiding principle even this year is meaningful engagement. All the inputs received from the public were considered in this review, consistent with the tradition of previous years."
(Stellenbosch Municipality, 2009, pp. 7)

Therefore, according to the IDP, the process is a successful endeavor whereby the voices of all citizens shape the municipality's business plan and ultimately the budget. Yet, according to the majority of decision makers interviewed, this is not the case.

Figure 10 reveals that 78% of the decision makers interviewed perceive the IDP process as flawed while 22% did not comment. The respondents who did not provide comment were either newly employed at the municipality or they simply had no direct experience with the IDP. Figure 11 depicts IDP perception according to decision maker group.

Figure 10: Decision maker's perceptions of IDP process

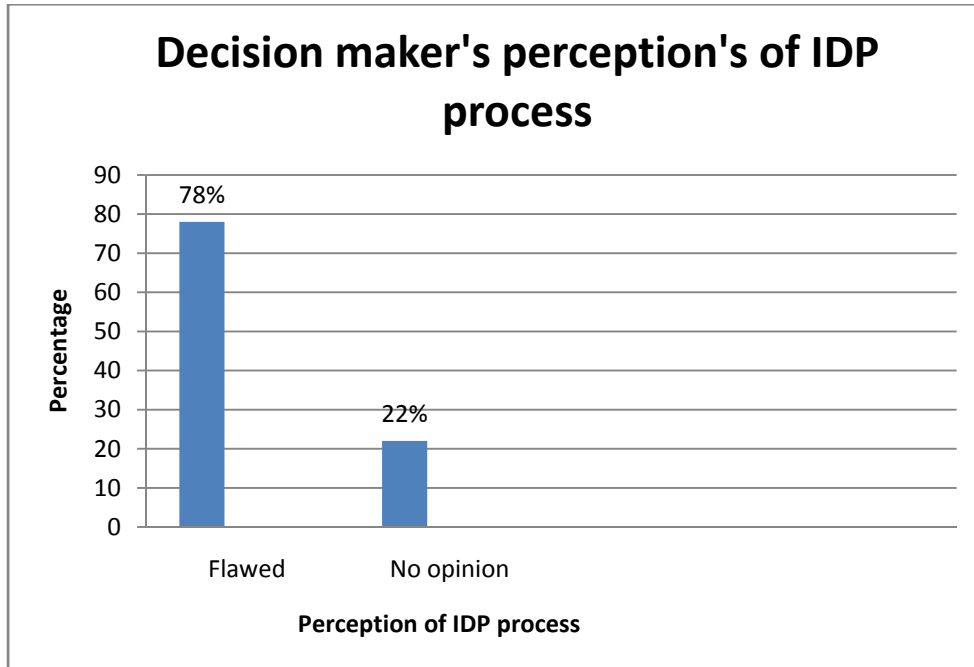
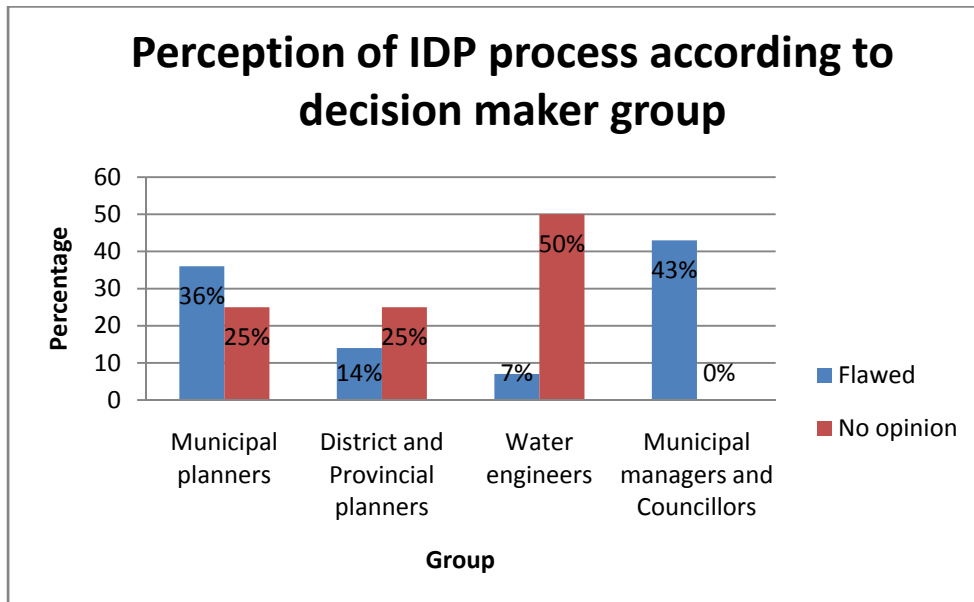


Figure 11: Perception of IDP process according to decision maker group



As shown in Figure 11, the municipal planners, managers and Councillors have stronger views on the IDP process compared to water engineers and the district and provincial planners. This stronger opinion may be due to the fact that the municipal planners, managers and Councillors are more actively involved with the local IDP process, thus having more exposure to the process. Table 3 lists key issues that emerged during open ended discussions with decision makers about the IDP process. While varying in perceived extremity, all issues emerged during discussions with one or more members of each group.

Table 3: Key IDP issues according to decision makers who felt the process is flawed²

Key Issue
IDP is a “wish list”
Lack of integration in the IDP process
Funds from budget are not allocated to community’s wishes, instead it is driven politically
Community’s wishes do not match capital priorities
Political volatility causes a lack of continuous vision at a higher level, resulting in wasted time, effort and resources
Perspective that the municipality is still racially divided
Lack of review/evaluation

While many of the decision makers felt that there is potential for the IDP to be effective, they viewed the implementation phase as defective as it has not successfully assisted in combating racial discrimination.

“We are more racially divided now than 10 years ago. The IDP has not facilitated integration. Stellenbosch is still as racially divided as ever.”
(Key Informant³ #3, July 2009).

Decision makers stated that the IDP is supposed to arise from the citizens, define the business plan of the municipality and then ultimately inform the budget. In fact, Chapter 3 of the IDP defines the budget as the “people’s budget”. But according to decision makers, the reversal occurs: the budget informs the IDP.

² Some of the respondents had more than one concern.

³ The term “Key Informant” refers to the decision makers.

“The IDP is supposed to be council’s business plan. It is supposed to be the ultimate plan taking into account all the sectoral plans and spatial development. To do this, you should start from the bottom up but it works from the top down” (Key Informant #1, July 2009).

According to decision makers, the public participation element of the IDP is only to inform people, as opposed to actively engaging citizens. Public meetings were described as “people sitting and listening but not challenging the leaders” (Key Informant #5, 2009). Many decision makers described the IDP as having the potential to play an effective role but it is simply a wish list for communities. Communities may desire certain items but they are low on the list of capital priorities as far as allocation of resources is concerned. This results in a disconnect between the IDP process and resource allocation. The public engagement component of the IDP process becomes simply “going through the motions”. Yet, according to decision makers limited funding requires prioritization and often what is desired by the public is not what is most needed. Therefore, the process of engaging the public becomes strictly statutory compliance.

“When it comes to the actual ticking off the issues that get highlighted by the community and packaging them in to projects that say these are the projects that we’ve got, identified from the community, how much can we fund with our own monies, how much can we fund from federal resources, how do you go about as a municipality to funnel the resources given?...I think that does not happen. So far” (Key Informant #4, July 2009).

Respondents also described the role that political will plays in the IDP process. A politician may demand funding for an item that is politically popular in their ward, despite whether or not the desired project is necessary or urgent. It may get placed in the IDP simply because it appeals to voters. For instance, as one decision maker described, health clinics may be very popular in communities because they tend to “win votes”. However, the health clinic may end up being simply a structure that is not equipped with equipment and staff to actually function. In this case, the public gets what it wants but it actually does not fit a need nor is it actually functional. Overall, it is described as a waste of money. Therefore, even though the public was consulted, it ends up being a box that officials can check off on a list to indicate that they adhered to the required process.

Key Informant #15 explained that infrastructure that you put into the ground does not gather votes in an election. Instead, projects like clinics are more visible products to gain votes. Yet, many of the problems stem from infrastructure collapsing. The IDP may contain items like tarred pavement or a health

clinic but “the sewage works is overflowing, the rivers are being polluted and the municipality would rather build more clinics than treat the sewage effluent in the rivers, which causes kids to get sick. And that’s a fact. They would rather treat the symptoms than the cause” (Key Informant #15, July 2009). For this reason, Treasury is said to play a more prominent role in terms of water and housing so that the IDP actually reflects what is needed as opposed to what is desired.

A lack of integrated planning was also pointed out as a critical concern for decision makers. In February 2008, the municipal engineering department created a long term strategic Master Plan for water services. This plan outlined all pipes within the Municipality of Stellenbosch, indicated where infrastructure needed to be upgraded and identified areas for potential growth. Then in 2009, the municipal council identified housing as a priority and approved a housing strategy for 20,000 low income RDP houses in the Municipality of Stellenbosch. At the time of this research, the engineering department did not know the location of the promised housing developments. Also, there has been no communication between the water engineers and the planning department to coordinate efforts. This lack of integrated planning between governmental departments is a colossal problem as it results in wasted money and resources. The engineers may upgrade infrastructure in one area of the municipality while the planning department may designate other locations for development. Furthermore, the engineers to date have not received an approved Spatial Development Framework. This means that the urban edge has no bearing. Key Informant #4 described the urban edge as a “political boundary” whereby “sprawl is acceptable...no one is controlling it and limiting it”. Key Informant #1 echoed frustration about political interference: “the Councillor and his developer friends just redraw the line [urban boundary]. That is my frustration.”

The lack of a valid urban edge creates a very real predicament, not just for engineers but also planners who wish to enforce sustainable development practices. The planning department is often blamed for the lack of information and the sporadic relocation of the urban boundary. However, it is actually political leaders, along with private sector partners who ultimately reshape the urban edge. The planning department may not even know where the housing will occur because the decision is often politically motivated. The municipality’s SDF is meant to provide a long term spatial framework that will give a 20 year strategic spatial development focus to the municipality. It is supposed to address sustainable development “aiming to balance current and future growth and development that includes socio-economic challenges (such as social and economical imbalances, unemployment, appropriate shelter etc.) on one hand and the environmental challenges and resulting implications of issues such as global warming, climate change, peak oil, water, energy and food resource shortages on the other hand”

(Municipality of Stellenbosch, 2009). At the time of this research, the SDF is still in draft form and not available to the public. According to the 2009 IDP, there are “some policy initiative gaps” whereby they are “finalizing some localized strategic spatial planning initiatives including land use management policies and related policies and bylaws including: alignment of the integrated human settlement strategy (see Appendix F) and bulk infrastructure master plan with the broader vision of living the future today” (Stellenbosch Municipality, 2009). According to decision makers, no municipal SDF has ever become legally binding due to political volatility. Thus, growth continues to be defined according to political will as opposed to best practice. This results in a lack of integrated planning and much frustration for various departments.

Stakeholders and developers did not comment on the IDP process since it is led by municipal government authorities. Instead, their perspective of the IDP process was revealed when asked about their view of public participation. This is because the IDP is supposed to entail a bottom-up approach.

4.4.2 Effectiveness of the public participation process

Figure 12: Perception of public participation process according to decision makers

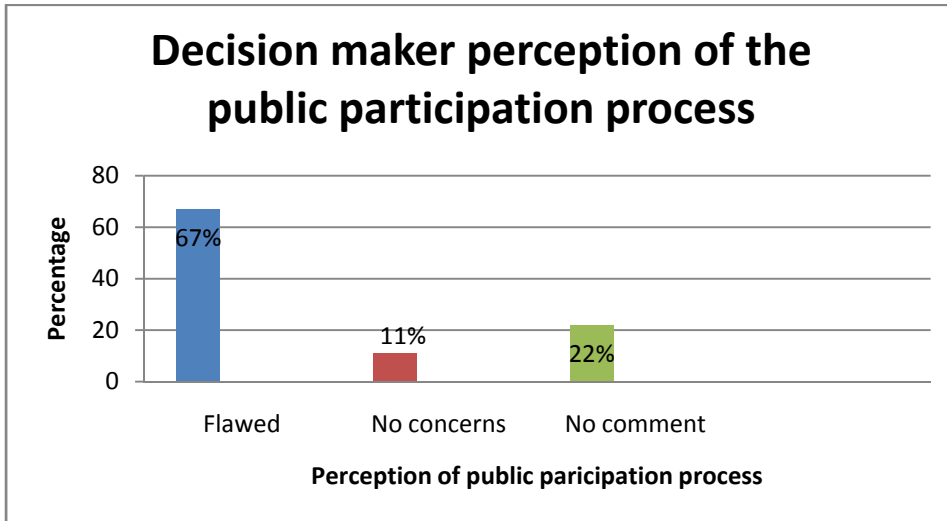


Figure 13: Public participation perception according to decision maker group

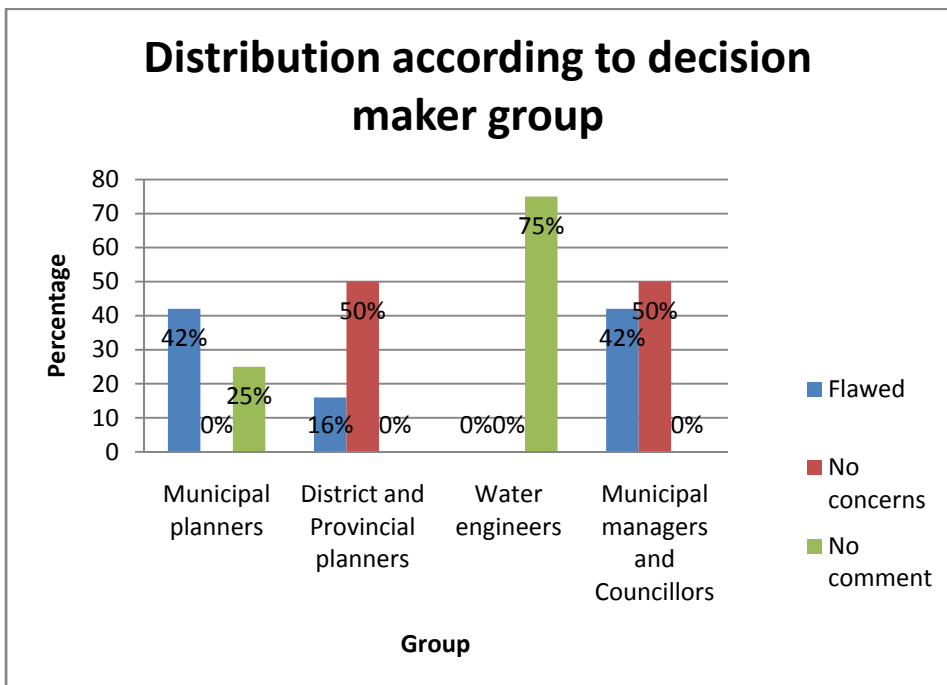


Figure 14: Stakeholder's perception of public participation process

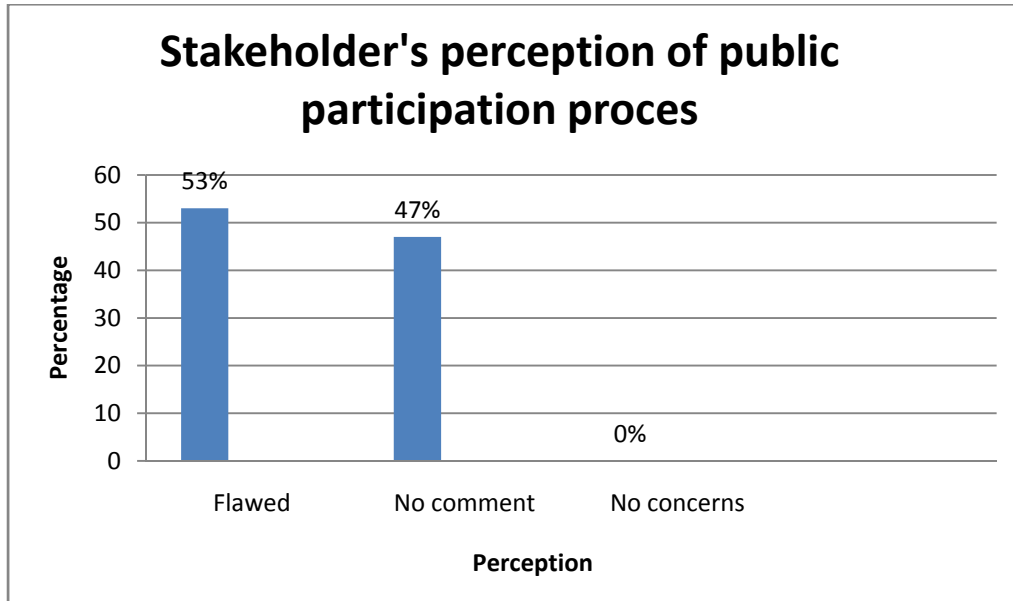


Figure 15: Perception of public participation process according to stakeholder group

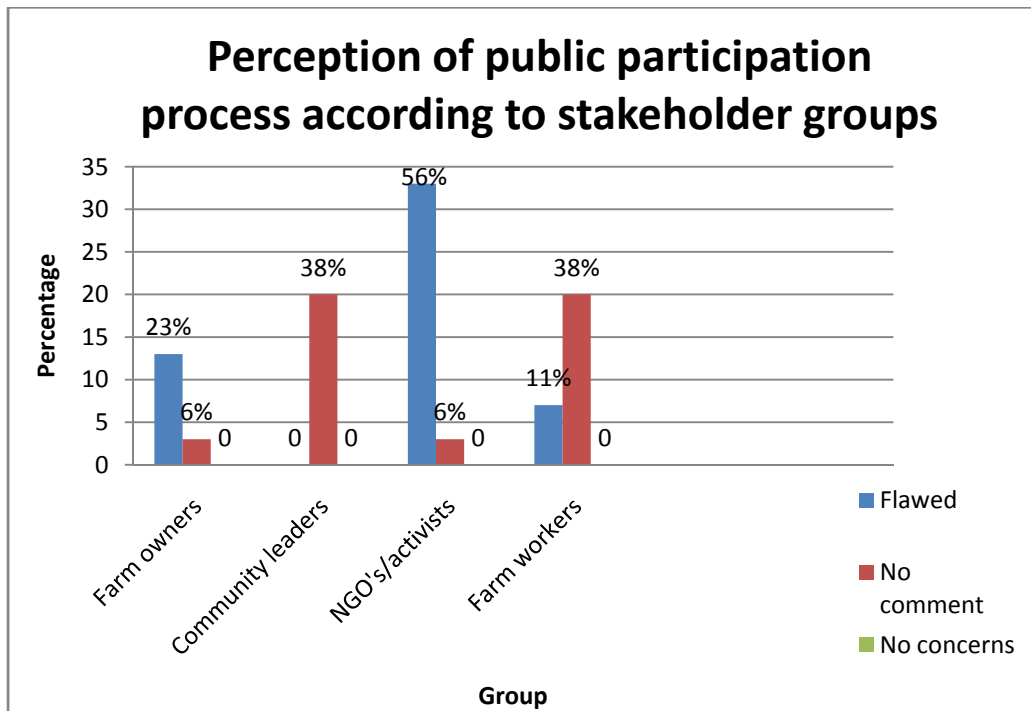


Figure 16: Perception of public participation process according to developers

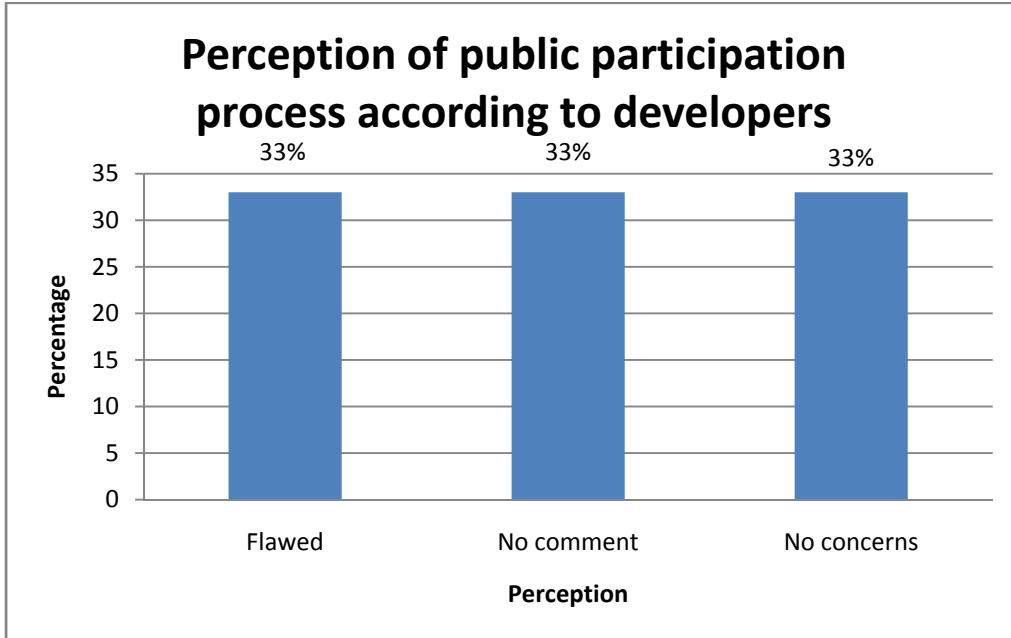
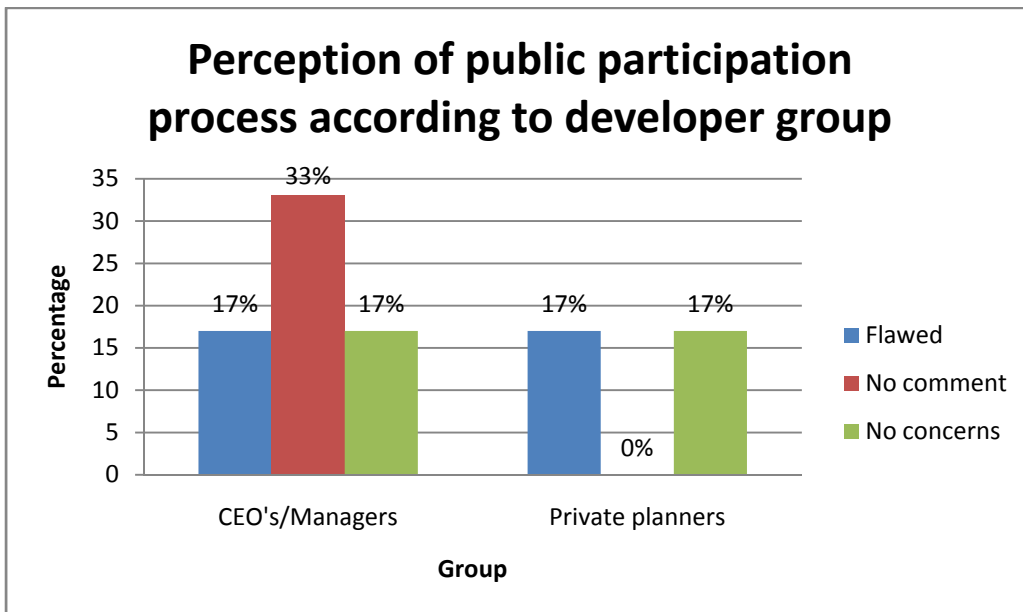


Figure 17: Perception of public participation process according to developer group



4.4.2.1 Effectiveness of the public participation process according to decision makers

The Municipal Systems Act (2000) promotes the active engagement of communities in all municipal affairs and also regulations and guidelines of public engagement. On a municipal level, the Stellenbosch Municipality Public Participation Policy for Land Development Applications outlines all the steps that must be completed before a development is approved. It also clearly sketches the steps for citizens who are interested in appealing a development (refer to Appendix C for a summary of the public participation policy).

All decision makers agree that there is a very clear, methodical document that outlines the public participation process. They further agree that all developments adhere to the legal requirements: developers advertise as required and notices are delivered to the identified “interested parties”. The requirements can be found on the municipality’s website or can be obtained at municipal offices. Planning proposals and development plans clearly outline all steps taken during the course of obtaining approval.

Given that everyone agrees on the fact that the process is followed, it is worthwhile to determine how effective the process is. Figure 12 reviews decision maker’s perspectives of the process. Figure 13 breaks this down further by revealing public participation process according to decision maker groups.

According to Figure 12, 11% of decision makers do not have concerns with the public participation process. Sixty-seven percent feel that the process is flawed and 22% were unable to comment as they were either newly hired at the municipality or they discussed other key concerns during the interview and time constraints prevented their view on public participation from getting noted.

Figure 13 shows that mainly the municipal planners, managers and Councillors have concerns with the public participation process. This is likely because these groups are actively involved in public processes on a more regular basis. The water engineers make up the bulk of those who did not comment. This is likely because the open ended nature of interview discussions focused on other planning and engineering issues. Twenty five percent of those who did not comment were the municipal planners. This represents one single person who was newly employed at the municipality and had limited experience at the time of the interview. Those who had no concerns came from the district and provincial planners and the municipal managers and Councillors. This included an actively involved municipal Councillor who felt that their personal efforts in the process make it successful. Furthermore, those who had no concerns this way because people now have an opportunity to have their voice heard compared to the past.

“If someone stays [lives] by you and wants to extend his home, he must negotiate with you; he must get permission from you. [For] each and every development there are documents guiding the development. All people have a chance to comment, even if they live far from it. They are now given the opportunity” (Key Informant #7).

While there are successful moments, the process was described as time consuming and sometimes very emotional:

“We had workshops night after night after night. The first night, the whole evening, [it was] four hours of what language we should use: English, Afrikaans, Xhosa or another case. The second night, the whole thing stopped because we provided sandwiches for tea at nine o’clock and not full plates of food. We just had cookies and stuff and they wanted food so we had to cater again. The third night they said that we never got this apartheid thing off our chest so we want to bitch tonight. The entire event: bitching, blaming, a big political fight, you know...people crying and so on. The next night they started working. Any time there was a difference in opinion they elected to subcommittee and the work actually happened in the subcommittees. They reported basically on the same thing as before. At the end of the day it has built bridges and all the people who participated signed this document. It went really well: council approved it” (Key Informant #1).

Table 4 lists key issues that emerged from open ended questions during the interview process. These key issues vary in importance to each interviewee.

According to decision makers, communities are often shown attractive images of a proposed development and the financial benefits are exaggerated in order to win community approval. But, the reality is vastly different than what was initially sold to the public. People may not question adequately and approve developments after being lured with promises or being “wined and dined” (Key Informant #8).

Another decision maker explained that a developer may promise communities a piece of land for small scale farming, another piece for housing, job creation, etc. While they are supposed to have many meetings, there ends up being only a couple and it always is just to inform people about the development application (Key Informant #5). Next, they form a community committee and appoint 1 or 2 local people on their directorate. All the promises and expectations they create are based on an application being successful. They then tell the community that money will be transferred after profits are made, which can only happen after Stage 3 or 4 of the entire project. Since developments take years, 3 or 4 years pass and the developer then goes back to the community and tells them that they can no longer deliver on the land

promised because it is needed for another phase. In the end, the money does not transfer to the community and the promises are not delivered (Key Informants #1, 5 and 6).

Table 4: Key public participation issues according to decision makers

Key issue	Details
1). Overpromising/under-delivering	Developers make promises (jobs, land, etc.) to local people in exchange for supporting a proposal.
2). Developers purchase support from communities whereby only few benefit	Developers target community “Champions” who can win support from others. The champions obtain buy-in and personally benefit (e.g. they may end up on developer’s payroll). However, the rest of the community does not benefit.
3). Long, arduous processes	It may take many meetings to get to the most important issue.
4). Politics drives process	Many decisions are already determined by the time it reaches a public meeting as there is political will behind it. For instance, a politician may be heavily involved in a development – their connection to the ruling party will enable the proposal to be successful.
5). Lack of transparency	Information is withheld from the community by the local politicians, developer, or private planning company. The public is made aware after the fact, at which time the decision is not reversed.
6). Complexity of planning process	Planning concepts such as rezoning principles and reading GIS maps can be confusing for even the highly educated.
7). Intimidating environments	Since planning concepts can be complicated, people may not be empowered to question presenters. The setting can be intimidating for people of different socioeconomic classes and backgrounds.
8). Public meetings are strictly informational	The decision is already made that a development will occur and public meetings simply inform the public of the intended process.
9). Pre-determined outcomes	Developments are difficult, if not impossible to stop although they can be delayed. Thus, the outcome is already determined but the form of it can be negotiated.
10). Historical wounds	While the country has progressed significantly since 1994, wounds from a discriminatory society make it challenging for people of all backgrounds and skin colours to cooperate on resources equity – a highly sensitive issue deeply rooted in history.

Decision makers described this as ‘developers purchasing support’ from key community actors in order to get their development passed. The “purchase” is not always direct financial pay off. It may be a promise to deliver an item to the local community such as a sports facility or another politically popular item. Very often, a key community actor ends up on the developer’s payroll and rallies local support for the development. Individuals may back the project because they are poor and the promised jobs are

compelling. A development receives public approval because the already powerful anticipates economic spin offs and the disempowered approve it because of hopeful benefits. It is for these reasons that study participants strongly felt that the public participation process is not favorably designed for historically disempowered people. While people may attend a meeting, it does not mean that they are empowered to participate and challenge the presenters.

The people who live in the DRV come from very diverse backgrounds: professionals, educated individuals, uneducated, people who live in informal settlements and those who are very affluent. There are multi-generational families and foreigners who have recently moved to South Africa to fulfill their dreams of owning a vineyard among breathtaking scenery. Many of the farm workers have not experienced equality for the majority of their adult lives. Their opinions were silenced, and they adhered to this suppression out of fear of the consequences. At the same time, there are other successful professionals who will confidently stand at a public meeting and voice their concerns. However, many key planning concepts such as re-zoning may be complicated to even the highly educated.

“You call a meeting and call it public participation. Now a professor comes from the university who is a professor of planning or a development economist and the poor labourer or housewife from Kayamandi [township] come and they sit in the same meeting and they have to participate and contribute....and they have to conceptualize and understand where we take this town – because the IDP is about allocation of resources in the end. So, here I come in...I can’t match your skills. I don’t know what they are talking about. I just know that I want a house. So, this person who comes in here is at an obvious disadvantage...In my view, it is an injustice to the process if you don’t understand a specialist. [So] I need to work with this guy doing social facilitation – to access his right to participate in an equitable and fair way: which was never done. So, what you get is it is skewed to favor White, rich, Afrikaans people and it places poor people at a disadvantage. So, when the IDP invites people to participate, they can’t necessarily because their environment in which they come from is weighed against them” (Key Informant #3, July 2009).

For the most part, decision makers did not feel that public meetings could actually stop a development. Rather, from their experience, a development could be delayed. Developments can be halted at the provincial level but this process was described as deeply political. In response to the question: Can public participation stop development? Key Informant #1 stated:

“Yes. Yes, it can. The problem...it depends on who is in charge at province. There needs to be an appeal and this goes to the province. The

decision will be made at the provincial level not at the local level. I feel 100% that this council will support everything, I have no doubts about that. But, as soon as there is a single appeal it goes to provincial authority. Province has a provincial advisory board and they can refuse it. One time the planning advisory board and administration said in the strongest words that it [a development] can't happen and the Minister approved it on political grounds. I later learned that it was a coalition between political parties and one of the parties said that if you do not approve it, we are out of the coalition. So, it [a development] can be stopped if the Minister is willing to listen to the people but not for a different reason. At this moment there is a possibility [that developments will be stopped] because previously there was the same political party at province in power as you have here. So, I think that should the people object on solid grounds, it will work.”

Key Informants #1 and 7 felt that public processes do not impact Council's decision making. Essentially, if people are asked to engage then their opinion should ultimately impact Council's decision. In their experience this rarely occurs. It was further noted that it is often the already powerful who are listened to and political will drives outcomes (Key Informants 1, 4, 7, 8, 14, 15)

4.4.2.2 Public participation according to stakeholders and developers

Figure 14 reveals that 53% of stakeholders with an interest in the DRV land who were asked about public participation view the process as flawed. Groups who typically hold opposing views on nearly every issue agree on the fact that the process is defective for various reasons.

Figure 15 breaks down the results of Figure 14 to reveal the distribution of results according to study group. It shows that the NGO/activist group is most concerned with the public participation process. This is likely due to the fact that this group is quite active in public meetings and planning decisions as they are primarily organized into environmental, rate payer, or heritage type groups. CEO's and owners of farms are also prevalent as it includes local land owners who are directly impacted by adjacent developments and therefore have direct personal experience with processes and are directly impacted by consequences of decisions. The occurrence of “no comment” was seen mainly among the community leaders and farm workers. These groups contain local people who have little experience with processes. No one in the stakeholder groups expressed a lack of concern for the process.

Figure 16 shows that 33% of developers view the public participation process as flawed, 33% had no concerns and 33% did not comment about the process. Figure 17 shows that the 33% who did not comment came from the CEO's and managers. Seventeen percent of CEO's and managers felt the process

is flawed while the remaining 17% did not comment. Seventeen percent of the private planners had no concerns with the process while 17% had no comment. The developers who had no concerns likely did so because they are predominantly responsible for organizing and leading public processes regarding their developments. Despite this, there was still concern expressed with the lengthiness of the process from the CEO and management group. Table 5 discusses the key issues that emerged from both the stakeholder group and the developer group.

Table 5: Key issues regarding the public participation process according to public

Key issue	Details
Lengthiness of process	The public process delays projects by years, which is costly to investors.
Processes too complex	Planners hired by the developers continually alter plans in response to appeals. Continuously reviewing updated development plans and complicated maps is extremely time-consuming and confusing for even the educated.
Lack of education	There are key concepts that are used in planning presentations that requires some level of understanding of key concepts. This creates a barrier to the historically disadvantaged.
Empty promises made to communities	Promises are made to communities to achieve buy in but are not delivered in the end.
Benefits to few community leaders	Benefits go to only a few community leaders who were chosen to rally community buy in.
Lack of capacity	Public meetings can be intimidating for even the empowered. Historically disadvantaged people must rely on NGO's and community activist to represent their needs.
Unaware of meetings	Many people are not aware of public meetings and/or rely on their employers to address their needs. Developers often deal directly with those who are most likely to counter their proposal/those who have capacity.
Hesitancy in speaking due to power relations.	Concern about speaking against a development when your livelihood is at stake. This includes both employees for the developer and workers for surrounding businesses whose owners support the development.

All of the developers stated that they adhere to the law and welcome community input. Their proposals highlight photos and descriptions of the efforts that they make to engage the public. The

Boschendal developers explained how inputs obtained through the public participation process ultimately enhanced their overall development plan. They also felt that they played a role in bringing the various communities together as Pniel and Kylemore historically did not communicate prior to Boschendal's involvement. The group hired a human rights lawyer for local communities (the lawyer was chosen by the community). According to interviews with the Boschendal developers, they initially wanted to give the community 30% of the farming company and 2% of the gross profits as part of the BSDI. By the end of negotiations, Boschendal developers ended up giving 5 % of the gross profits and 10% of the land in terms of title deeds. Overall, the Boschendal group feels that now there are avenues (such as legal aid and social activists) for communities to protect themselves, delay the process and/or take developers to court. Developer #2 stated that developers as a group can no longer simply "do whatever they want" nor can they make empty promises to communities because there are legal structures in place to protect the most vulnerable.

However, the developers also expressed frustration with the lengthiness of the process as it can take years for a development to finally be approved, resulting in profound impacts on overall business goals. They stated that one group alone considerably delayed the process in phase one of their development application. This causes concern for them because by the time approval is obtained, the economy may shift as seen during 2009's global economic crisis. This creates severe fiscal consequences and may ultimately discourage other private sector investors from investing in South Africa, creating a rippling effect on the economy. It also emerged from other interested stakeholders that disputers of developments use this strategy to deter outcomes. One land owner stated that "they [the developer] will never go away. The only thing that you can do is to continue to delay the process...[try to] delay it for years" (Stakeholder #6).

"The process we go through is unbelievable long and unbelievably inefficient. We are a developer who sunk 500 million rand into this project. We now want to do a subdivision. Take an agricultural subdivision like we did on the Founders Estates which took us almost five years to go through a process. So the municipality advertised it and it takes 30 days. You can object to it. So you write and say "object". One person objects. They do that on the last day and the municipality has 30 days to deal it. Then they say we are going to overrule it and the person says, "I still object". Then, another 30 days. The municipality has another 30 days to deal with it. They overrule it. Then they appeal it again. Another 30 days and then it goes to a committee and the committee says "your reasons for objection are invalid and the guy says, 'that's fine, I am going to appeal to the province'. He still hasn't given a

reason and it has not cost him one cent while your interest clock is ticking.....This is exact. You get 6 or 7 bites at the cherry. You can delay a developer by 18 months without having a valid reason. We as developers believe that the system has to be transparent and we believe that everybody has a right to have their say but we need to have a system like a one stop shop system of dealing with everybody's issues once off. And then we are quite happy to go to the high court or whatever after that or what it might be. But these little bites. For a large chunk of the time it is a self interest reason. People have rights. If we got this development and someone says I object to the development and you ask for his reasons and he says "well, because I don't want to see it". But we have landscaping mitigation and we've been through visual impact assessments...And the guy says "I just don't want to see it" So I say, "well, what about the million rand that the community is going to get and the 2,500 jobs?" And he says, "Well, I don't want to see it". His issue is one of absolute and utter self interest at the expense of the larger goal. But, he has his right to say that [but] someone has to judicate that. Once it is judicated, then get it off the table" (Developer #3).

4.4.2.2.1 Stakeholder's comments regarding the public participation process

Stakeholders who view the process as flawed feel that it is complicated, time consuming, and overall exhausting. Even individuals who are highly educated admit to not understanding the planning documents. Furthermore, they feel that the only thing they can do is protect their immediate interests because stopping it completely would be fruitless. Regarding Boschendal's public participation process for its phase one development, one stakeholder commented:

"Do people really engage? No they do not. I am exhausted by it and overwhelmed by it and I am a professor. I feel I have a right [to participate] and I will exercise it. The vast majority hasn't the foggiest clue...they are told that they will benefit by people who abuse their trust. In the end, they will realize that this was a bust" (Stakeholder #1).

It was also pointed out that the already educated have more resources to participate:

"Disadvantaged communities do not have the resources to fight. They have to depend on legal aid and government and NGOs to support them if they want to go to court" (Developer #2)

"The people who have an interest are in the upper class and ask questions that are different from the historically disadvantaged community" (Developer #2).

At the same time, there are White stakeholders who may oppose a development but often remain silent because they simply fear that they will be labeled as racist for opposing Coloured or Black projects

(Stakeholders #2, 10, 12, 13, 17, and 18). Their fears are justified as there were study participants who stated that “people who object to development are White elitists while the local Coloured people simply want employment” (Developer #2, 2009). Another study participant claimed that an individual may purchase land for its peaceful beauty and shun development simply because it would disrupt their escape from city life (Decision Maker #2 and 3). At the same time, local people may welcome a development because of the hopeful employment it would bring to an impoverished area.

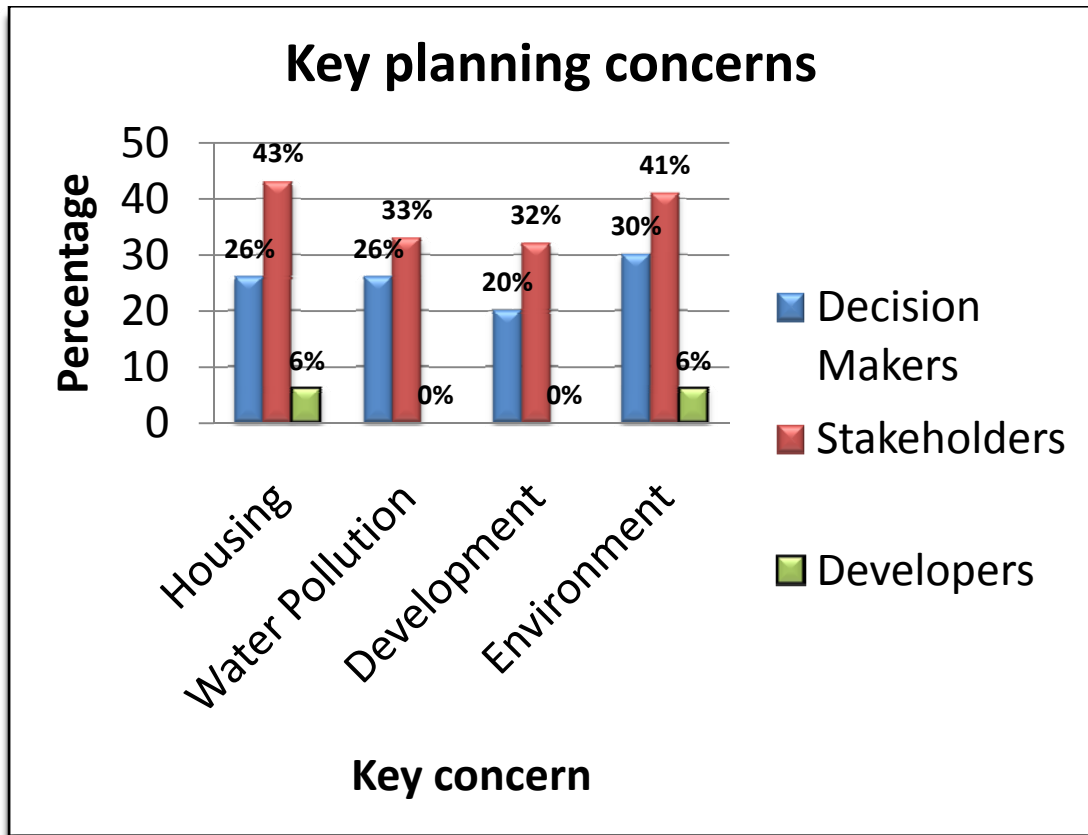
“Bottom line; White people want to preserve: Coloured people want to develop. White people are holding the process. Heritage people want to keep it as it is. But, that is not in the interest of development” (Developer #2, 2009).

Forty five percent of stakeholders were not able to respond because they had never participated in, nor had any ideas as to how one should participate in a public process. These farm workers (Black, Coloured, or White) who live on or near the farm did not participate in public processes because they felt the owner held this responsibility. This is despite the fact that it is often the farm workers who have actually lived on the land the longest (and very often their parents and great grandparents also lived on the land). In principle, they are better positioned to understand the impact of developments on the natural and social environment compared to the owner who is often a foreigner and primarily concerned with impacts on land value. Diverse people living in the area have vastly different concerns, based on their connection to the land and their view of its value. A foreigner may welcome a development because it would potentially increase the value of his/her land, which they purchased as an investment. To someone whose family has lived on the land for many generations, the history of the natural environment may take precedence over land value increasing (especially since they may not own land anyway). Farm workers would certainly not contradict the opinion of the owner in a public setting as it would clearly generate animosity and jeopardize the employee/employer relationship.

4.4.3 Main planning concerns in the Dwars River Valley

Figure 18 depicts the central planning concerns for all study groups. Some participants may have discussed more than one key issue. In this case, the topic was placed in all categories that were mentioned.

Figure 18: Key planning concerns



4.4.3.1 Housing concerns

The Stellenbosch Municipality’s 2009 IDP lists housing and land for housing as a priority for 10 of its 19 wards. Wards 3 and 4 are included in this list. The IDP clearly outlines Ward 3’s vision/mission as: “to eradicate poverty whilst providing housing, job opportunities, beautifying the ward and ensuring a drug free community” and Ward 4’s vision/mission is: “to eradicate poverty whilst providing housing, and inculcate a sense of ownership and responsibility within the community” (Stellenbosch Municipality, 2009). According to the IDP, there is a need to correct historically distorted spatial settlement patterns and identify land for affordable (low-middle income) housing in close proximity to places of economic opportunity and a public transport network. They suggest compact, integrated and sustainable neighbourhoods for achieving the “global challenge of sustainability” (Stellenbosch Municipality, 2009). Finally, there is also an (undetermined) shortage of formal housing in rural areas for farm workers who, together with farmers, are identified as a special interest group with a distinct housing class identity

(Stellenbosch Municipality, 2009). Appendix D shows the municipality’s housing backlog. Figure 19 illustrates the distribution of results while Figure 20 provides a reference to the groups categories.

Of the decision makers who expressed housing as a key concern, 36% came from group 1 and 43% came from group 4. A smaller amount of 14% and 7 % came from Groups 2 and 3. Group 3 held the highest concern in the stakeholder group with group 2 following. Stakeholder groups 1 and 4 evenly making up the balance. Group 1 from the developers held 67% concern with housing issues while group 2 made up the bulk with 33% concern.

Figure 19: Housing concerns according to group

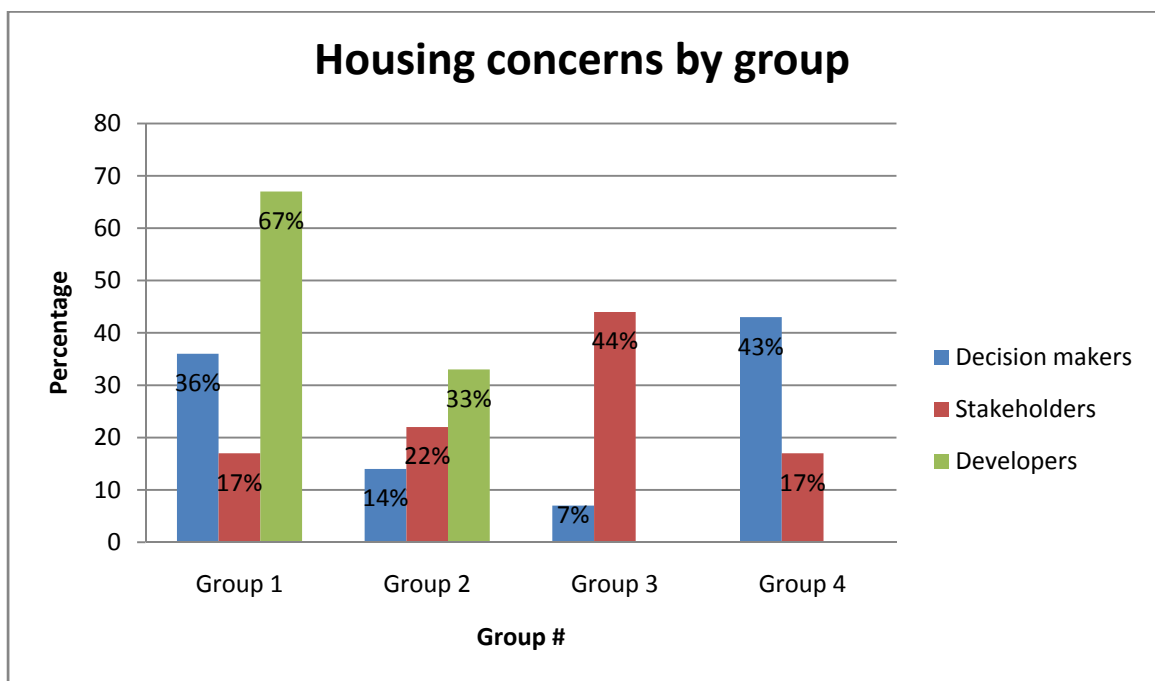


Figure 20: Group guide

Decision Makers Group 1: Municipal planners
Decision Makers Group 2: District and Provincial planners
Decision Makers Group 3: Water engineers
Decision Makers Group 4: Municipal managers and Councillors
Stakeholder Group 1: Farm owners and CEO's
Stakeholder Group 2: Community leaders
Stakeholder Group 3: NGO's and activists
Stakeholder Group 4: Farm workers
Developers Group 1: CEO's and managers
Developers Group 2: Private planners

Figure 21: Housing concerns in the Dwars River Valley provides a detailed overview of key housing issues expressed by study participants.

Figure 21: Housing concerns in the Dwars River Valley

Key housing concerns
Filling housing needs
Coordinating efforts in rural areas
Social impacts of RDP housing (crime, etc)
Maintenance of properties by owners
Visual impacts of Lanquedoc
Quality of Lanquedoc houses
Fulfilling CSR promises
Illegal Occupation

The issues revealed in Figure 21 varied across groups. However, common themes also cross boundaries. All study participants expressed great concern with looming housing shortages and the increasing number of informal settlements forming in the area. Since politicians were elected on their promise to deliver social housing, it is a key priority not only in the DRV but throughout the entire municipality. However, there are clear complications and consequences to the delivery of social housing⁴.

Individuals who have acquired an RDP house often rent their home to immigrants from the Eastern Cape and other African countries, as people move to the Western Cape in hopes of employment. They may also build other structures on their property for rental, causing an increase in population and new dynamics within the community. The building of illegal structures on properties is not policed. This places pressure on existing structures and creates a new dynamic in communities as the influx of people is associated with an increase in drug and alcohol addictions. This combines with the existing high unemployment rate and results in rapidly escalating crime. People who immigrate to the area in hopes of finding work are often blamed for “bringing in” illicit substances and behavior by local residents. The poverty and problems of addiction are also blamed for the lack of maintenance on properties. There is also an interesting racial dynamic that arises from this since the people moving in to the area are Black and the existing communities have historically been Coloured.

⁴ Social housing is also called RDP housing, named after the Reconstruction and Development Programme. This thesis uses the term RDP to describe government built housing.

Another prominent concern for all three groups is vandalism. RDP housing provision essentially works on a scale according to ability to pay. The government may provide a lot and services but the new owner must then build up from the general structure provided. These lots may sit vacant until an owner is chosen from a municipal list but the lot and services are vandalized before a new owner moves on to the property.

Figure 22: Vacant lot for future RDP house shows an unoccupied lot. Figure 23: Vandalism of vacant lot shows where the structure has been destroyed. Figure 24: Dump site on vacant RDP lot shows how people have informally designated a vacant RDP lot as a dump site.

Figure 22: Vacant lot for future RDP house



Figure 23: Vandalism of vacant lot



Figure 24: Dump site on vacant RDP lot



This is not to say that all people who live in the RDP homes in Kylemore or the Lanquedoc homes do not care about their property and community. During site visits, residents of Lanquedoc homes were very upset about the condition of the homes that they received as part of the Anglo American/Boschendal deal. Owners highlighted problems of water infiltration as the walls were not sealed and complained that the loft style of the homes is an impractical design for aging populations. The houses were initially meant to be a one story design but financial restrictions made it more economical for the planners and architects to build upwards. Dennis Moss Planning Consultants promotes the two story design, saying that owners have the option to create a full second story.

The two story design is also contentious issue with residents who live on the hillside of Pniel and Johannesburg as they feel that their once pristine view of the valley is now blemished by pronounced silver rooftops (see: Figure 25: Silver rooftops of Lanquedoc home as seen from Johannesburg). For them and others who live in the valley, the silver rooftops are a constant reminder of the drug and crime problems that have increased since Lanquedoc was extended.

Key housing concerns for the developers include fulfilling their corporate social responsibility obligations as housing provision is part of their BSDI commitments to Lanquedoc.

Figure 25: Silver rooftops of Lanquedoc home as seen from Johannesdal



4.4.3.2 Boschendal

As seen in Figure 18, 20% of decision makers and 32% of the stakeholders expressed concern with the Boschendal development in the DRV. Figure 26 shows the group distribution of those who flagged the Boschendal development as a key issue. Figure 27 provides a reference to the group categories.

Figure 26: Development concerns according to group

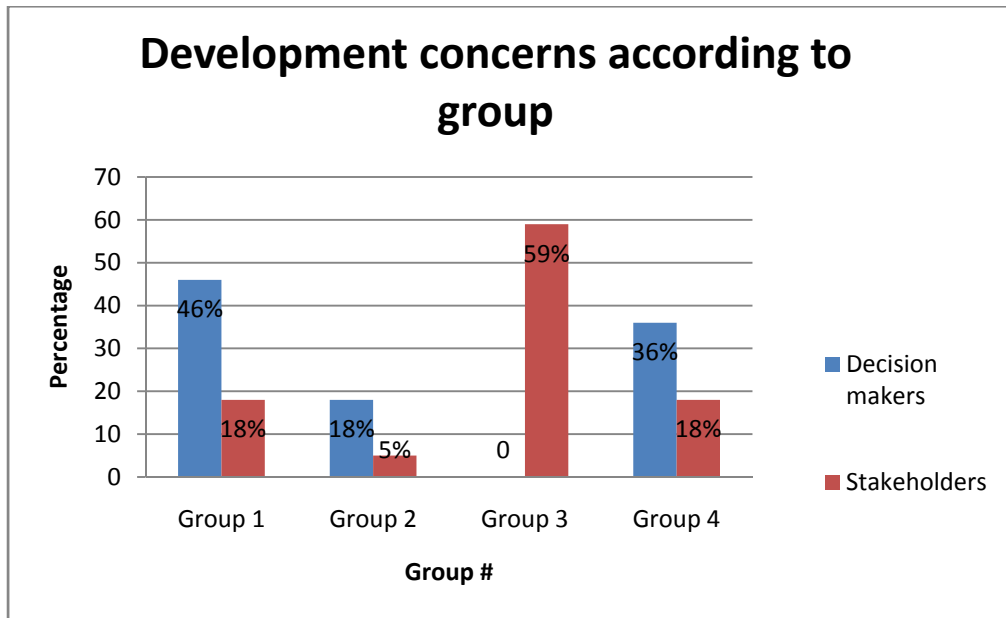


Figure 27: Group guide

- Decision Makers Group 1: Municipal planners
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- Decision Makers Group 3: Water engineers
- Decision Makers Group 4: Municipal managers and Councillors
- Stakeholder Group 1: Farm owners and CEO's
- Stakeholder Group 2: Community leaders
- Stakeholder Group 3: NGO's and activists
- Stakeholder Group 4: Farm workers

The bulk of concern came from decision maker groups 1 and 4. This is understandable considering that it is these groups who are most actively involved in the development decisions. Group 2 made up the remainder while group 3 did not express apprehension with the development. Group 3, who is primarily interested in water engineering issues, stated that developments such as Boschendal pose a lesser concern than social housing since the developer pays for required infrastructure. Of the stakeholder groups, 18% concern came from group 1 while the majority came from group 3. Group 3 is most actively involved in the planning process as it includes environmental groups, rate payers, and heritage

researchers. That is not to say it is not a problem to the remainder groups as 18% concern came from group 4 and 5% came from group 2.

Figure 28 reveals the key issues associated with development that emerged from open ended questions. The key concerns listed cross groups and can ultimately be summarized into 1) impacts to the environment and 2) lack of trust that communities will receive promised benefits, in part due to perception of the Lanquedoc housing development.

Figure 28: Key concerns with Boschendal’s development proposal

Key Issues
"Urban sprawl"
Environmental consequences
Lack of integration
Lack of trust that community will receive promised benefits
Negative perception of Lanquedoc taints reputation
Esthetic consequences
Counters "good planning"
Impacts to heritage attributes (potential for World Heritage Site)

Decision makers primarily feel that new developments should occur within the existing built boundary and rural land should be preserved. They view the Boschendal development as contradicting ultimate goals of densification. Although phase one of the Boschendal Development has remained zoned as agricultural land, decision makers still view Boschendal’s housing estate development as urban sprawl and believe it counters best planning practice. Phase two of the development involves changing zones from agricultural land to commercial use and they strongly view this as contrary to overall goals. Phase two has not yet been approved and is undergoing requirements as part of the application process such as Environmental Impact and Social Impact Assessments.

Stellenbosch Municipality did not have a legally binding spatial development framework (SDF) at the time of this research. However, the draft SDF identifies conservation areas, areas for growth, etc. The individual responsible for this document clearly stated that the Boschendal development contradicts overall goals of the draft SDF. However, the Boschendal development proposal and the BSDI both adhere to the Cape Winelands District Municipality’s SDF (which also adheres to the new Biosphere Reserve SDF). Both of these SDF’s were drafted by Dennis Moss Planning Consultants, the same firm that is

responsible for the Boschendal development. The planner/architect who is drafting Stellenbosch Municipality's SDF, Simon Nicks, is the same firm that drafted the Provincial SDF. Therefore, the Boschendal development and the District Municipality's documents all correspond. But, decision makers claim that the draft municipal SDF contradicts the Boschendal development. A Dwars River Valley SDF was also drafted in 1999. While this is not a legally binding document, it was drafted as a guide to land development in the DRV. Decision makers view the Boschendal development as contradicting this plan. A major problem, according to decision makers, is that plans do not become legally binding in Stellenbosch Municipality due to political volatility. Thus, planners may draft numerous SDFs only for them to never be implemented; nothing becomes legally binding and commercial developments in rural land can continue.

Another key concern for both decision makers and 17 out of 30 of the stakeholders interviewed is that the Boschendal development contradicts the country's overall goals of social integration. According to them, while the existing communities of Kylemore, Lanquedoc, and Pniel will remain intact the gated estate community will consume the majority of the land and create a barrier between the rich and the poor. Participants who strongly oppose this describe it as a repetition of apartheid, only now based on socio-economic status rather than race. They feel that there is a very low likelihood that local people will enter the Boschendal community. Countering this, the developers maintain that local people are welcome to shop in proposed stores, boutiques, and frequent the restaurant. Still, stakeholders and decision makers feel that the shops will be premium priced and the security gate will prevent local people from entering. Developers counter by also saying that they gave the community land that will physically connect them as part of phase one's initial deal.

New developments such as the Boschendal development are also forcing land prices to unaffordable levels for not only the Coloured and African populations. Young Caucasian farmers feel that their aspirations of owning land for farming are bleak: they are not a "previously disadvantaged" group and foreigners purchasing land intensified land prices beyond affordability. They, too, may have been born into a tradition of farming but their family may never have owned land. Therefore, they work on farms, mainly as managers, that are owned by foreigners.

A significant concern for both stakeholders and decision makers is the environmental and historical impacts to the land. Although the Boschendal group must adhere to the law and complete the Environmental Impact and Heritage Impact Assessments, concerned study participants feel that the development will destroy the delicate ecological system and its historical significance.

Even decision makers and stakeholders who do not strongly oppose the Boschendal development expressed concerns because of their negative perspective of Lanquedoc. Many essentially perceive it as being a “ghetto” and directly blame Dennis Moss Consulting and the Boschendal group for its current state. This is despite the fact that the Boschendal group states that it had little to do with the development of Lanquedoc as it was strictly an Anglo American endeavour. Since Dennis Moss Consulting designed and built the new houses in Lanquedoc, participants feel that any new development constructed by them will have detrimental consequences to the community at large. Furthermore, since there has been no money transferred to the trust to date, communities are losing faith that the promised benefits will materialize. The developers maintain that the agreement is legally binding and they have to transfer the money as part of the legal agreement; but, whether legitimate or not, many people simply do not trust them. Decision makers also have vast experience with various communities that never obtained promised benefits and subsequently fear history repeating itself in the DRV.

4.4.3.2.1 Boschendal support

Figure 29 shows the distribution of those who support the Boschendal development.

Figure 29: Reasons for Boschendal support

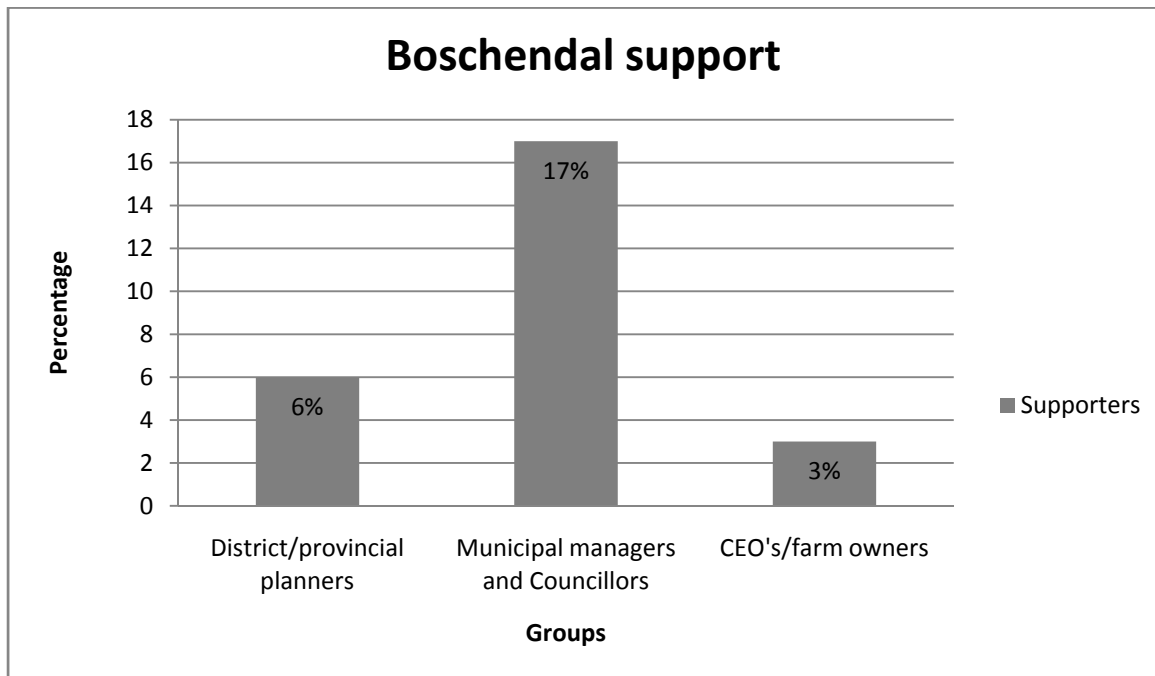


Figure 29 show that 6% of the district and provincial planners support the Boschendal development while 17% of municipal managers and Councillors support it. There is also 3% support from the CEO's and farm owners.

The reasons for support cross each group. Open ended questions revealed that primarily, they believe this is the best way to boost the economic status of the communities. They are satisfied with the land that has been allocated to the local communities and feel that economic development is a key priority. Developers are promising more than R1 million to the communities and at least 2500 jobs to an area that is dealing with widespread poverty and associated social problems. Supporters stated that they did not benefit from the land in the past and at least now there is potential that they will receive something. They are also happy with the non-domination agreements, such as access to the silver mine that the Pniel residents obtained because this is an opportunity for the community to create an eco-tourism business. Furthermore, the strong supporters have faith in Chris Nissen. Since Mr. Nissen was imprisoned during apartheid as a freedom fighter, is a religious leader, and a popular ANC politician, supporters have great faith that he will prevent any form of injustice from materializing.

4.4.3.3 Water and environment

Figure 30 illustrates the distribution according to group of those concerned with environmental issues. Figure 31 provides a reference to the group categories. Of the decision makers, groups 1 and 4 shared the majority of concern at 31% with groups 2 and 3 evenly splitting the remaining 38%. Of the concerned stakeholders, 45% of the total amount concerned comes from Group 3 while Groups 1 and 4 evenly split 46% and Group 2 contributes 9% concern. Group 2 of the developers makes up the majority of those concerned at 67% while Group 1 represents 33% concern.

Figure 30: Environmental concerns according to group

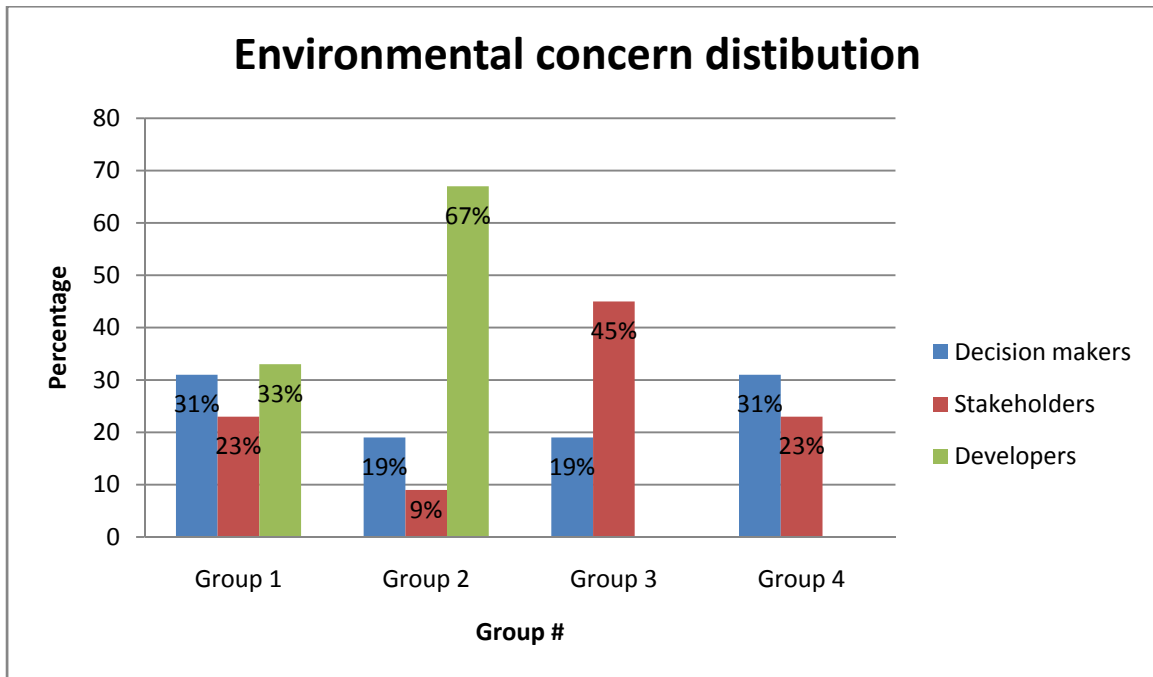


Figure 31: Group guide

Decision Makers Group 1: Municipal planners
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Decision Makers Group 3: Water engineers
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Stakeholder Group 2: Community leaders
Stakeholder Group 3: NGO's and activists
Stakeholder Group 4: Farm workers
Developers Group 1: CEO's and managers
Developers Group 2: Private planners

Twenty six percent of decision makers and 33% of the stakeholders stated that they had concerns with water issues in the DRV. Figure 32 shows the spread of those concerned with water issues organized by group. Figure 33 provides a reference to the group categories. The table reveals that 50% of those concerned came from Stakeholder Group 3. This is logical given that the group is made up of environmental groups, rate payers, and researchers. Twenty-eight percent of Group 4 was concerned while Group 1 contributed 17% and group 2 had 5% concern. Group 1 from the decision makers

expressed the most concern from this group, at 36% while the remainder was relatively evenly spread across the other three groups with Groups 2 and 3 each representing 21% and Group 4 at 22%. Neither of the developer groups expressed concerns with water issues.

Figure 32: Water concerns according to group

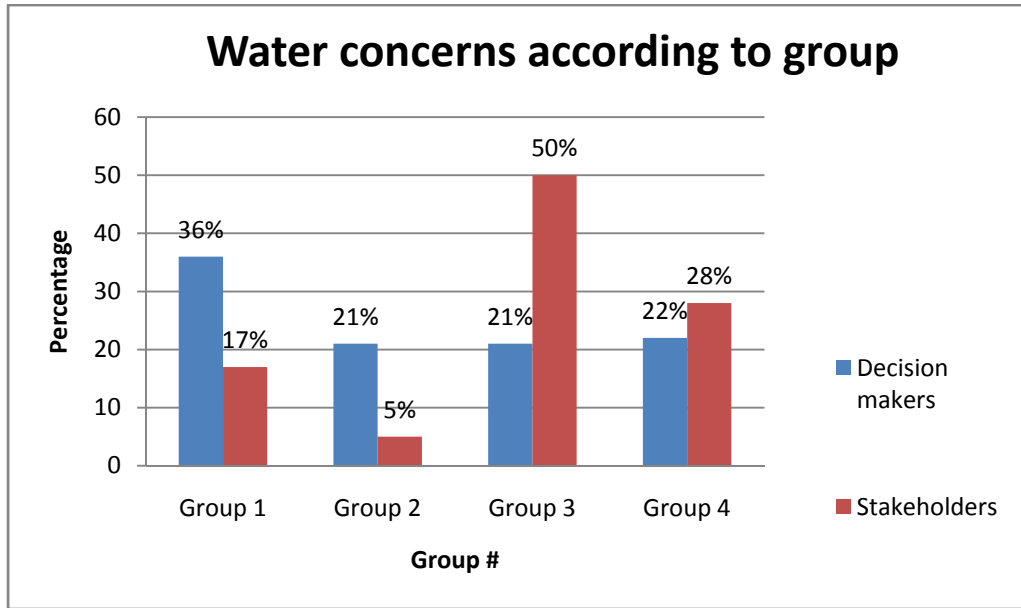


Figure 33: Group guide

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- Stakeholder Group 3: NGO's and activists
- Stakeholder Group 4: Farm workers

Figure 34: Water concerns in the DRV lists the key concerns that emerged during interviews. While the importance of each issue varies in importance according to individual, the key issues are found in all groups.

Figure 34: Water concerns in the DRV

Issue
Water pollution
Historical significance of rivers
Development impacts on rising pollution
Lack of monitoring and evaluation
Lack of sharing resources between departments and levels of government
Social housing demands for services
Unequal access

Many stakeholders have profound concerns because of the river's significant history as it had multi-uses from the time that the San and the Khoikhoi used it.

The key issue for stakeholders and decision makers alike is water pollution. Stakeholders blame the informal settlements located close to the river, the Lanquedoc settlement, and spraying of pesticides for polluting the water. They are concerned with this because they said that children swim in the river, it is used for domestic use (by the same people who are blamed for polluting it) and fishermen have seen declines in fish stocks. One farm manager who has been tracking pollution levels as it is required for international trade agreements with the European Union has noticed a drastic increase in pollutants in both the Dwars River and Berg River over the past few years (Stakeholder #12, July 2009).

Decision makers and the stakeholders with a particular interest in water issues claim that there is a lack of an adequate monitoring and evaluation system between and among government departments and think tanks. The task of monitoring water quality is completed by various departments which results in redundancy and an inefficient use of resources. They believe that an adequate method of sharing information is required in order to combat the problem.

Another key concern for decision makers is that the commercial farmers can "pull as many liters of water that they want free of charge. They do not pay for the water that they take out of the river. They have pipes going into the river and can pollute it. They pollute the water and children are swimming in it" (Key Informant #6, July 2009).

Another key concern for decision makers and some stakeholders is a lack of water equality. For instance, the Municipal Councillor, who lives across from a new gated community stated:

"At this very moment, the haves have more water than us because the water is off on my side but in the summer, they are watering their

gardens for a whole day...and then the water is off in the community.
There is no water left for us.”

For this reason, this Councillor identified water as a key issue in the 2009 IDP and requested that a bigger pump be put into the community to prevent water shortages during summer months (or called the dry season).

Other stakeholders stated that water is not shared equally in the DRV because land is not shared equally. As long as the elite continue to own the majority of the land, they will own the majority of the water. In the past, the land was in the hands of White people, which meant that the majority of water was held by White people. In the DRV, this is shifting since the BEE now is a partner in the Boschendal project. The other farms are primarily owned by foreigners, with the exception of Solms-Delta which is a partnership between two White owners and their Coloured farm workers. Therefore, the vast majority of water continues to be owned by the elite and accordingly the issue of water representing socio-economic imbalances is maintained.

4.4.4 Monitoring and Evaluation

The Municipal Systems Act (2000) states:

“A municipality must develop a culture of municipal governance that complements formal representative government with a system of participatory governance, and must for this purpose...the establishment, implementation and review of its performance management system (iii) the monitoring and review of its performance, including the outcomes and impact of such performance”

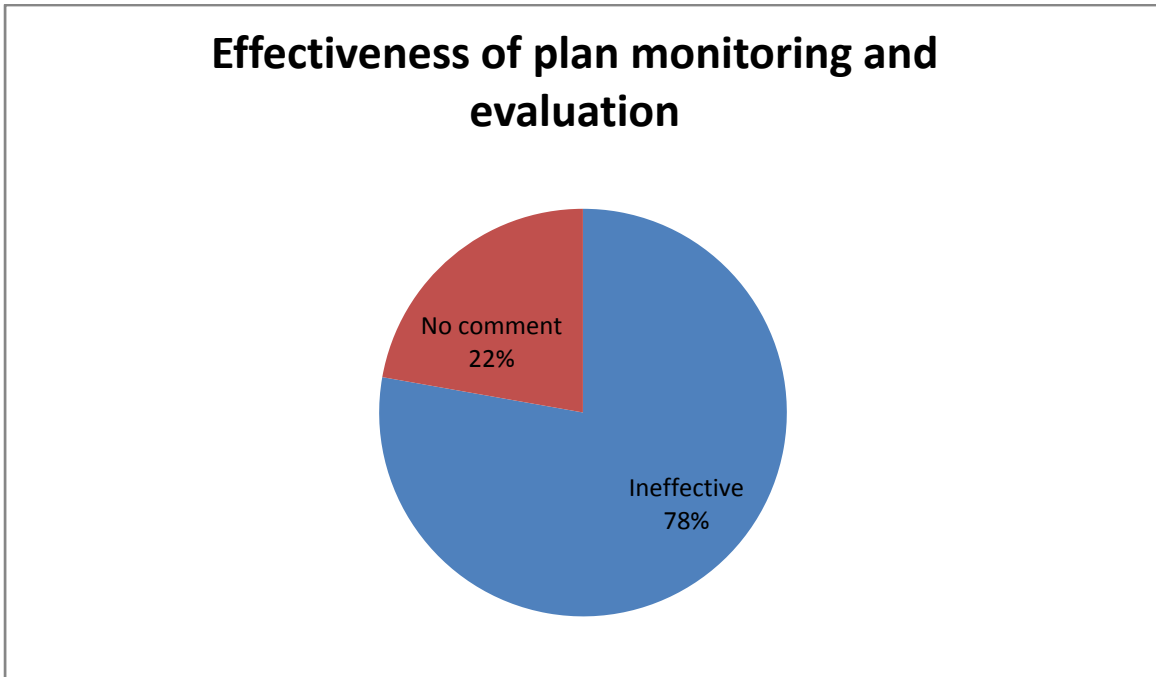
Stellenbosch Municipality’s IDP aims for “an effective performance management system for the Municipality” with key initiatives of “managing, monitoring and evaluation of performance”. The document set targets for 2009/10 and stated that “percentages” have been implemented or finalized.

The National Water Act (1998) stresses the importance of monitoring and evaluation. Chapter 14, 137 (1) states:

“The Minister must establish national monitoring systems on water resources as soon as reasonably practical...the systems must provide for the collection of appropriate data and information necessary to assess, among quantity and quality of water resources; water resource use, rehabilitation of water resources; compliance with resource quality objectives; health of aquatic ecosystems; and atmospheric conditions which may influence water resources” (Government of South Africa, 1998).

Since key documents state that monitoring and evaluation must play an instrumental role in the planning process, decision makers were asked how effective plan monitoring and evaluation actually is. Figure 35 shows the results from this question.

Figure 35: Monitoring and evaluation effectiveness



Seventy eight percent of decision makers feel that monitoring and evaluation is one area that must be improved. Figure 36 shows the distribution of results from Figure 35.

Figure 36: Perception of monitoring and evaluation according to decision maker

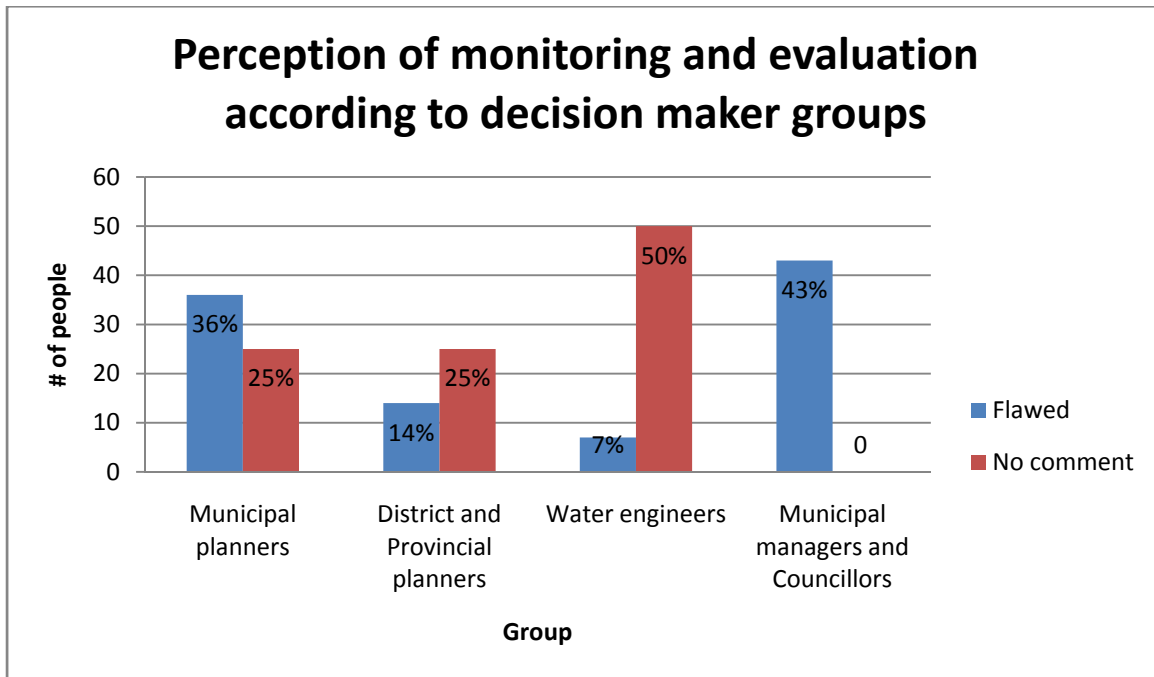


Figure 36 shows that municipal planners, managers and Councillors make up the majority of those who expressed issue with the monitoring and evaluation process. Those who did not comment mainly came from the water engineers with the municipal, district and provincial planners equally sharing the remainder.

All decision makers who view it as ineffective feel that it is also very important. As one decision maker put it:

“You know, the whole issue of evaluation of plans unfortunately, the needs that people have...I think that they are the same needs that have been coming in since 1994 or before 1994. But in South Africa, we have a very creative way of dealing with our problems. If we can't deal with the problem we either legislate more, come up with a new legislation, or we call the same problem something else so it becomes fashionable. Housing is a typical example. We know it is about shelter but we know there are other issues around it: integration and what not. We change it from housing to integrated settlement [then] we call it 'breaking new ground'. It is the same issue that comes up again and again.”

According to decision makers, a lack of funding and human capital create barriers to plan evaluation because there is simply not the resources to invest in required studies nor is there expertise to perform the tasks. Thus, the same issues continue to arise and are addressed in silo-style projects.

Chapter 5

Discussion and Recommendations

5.1 IDP and participatory planning approach

Post apartheid South African planning literature promotes social equity and environmental sustainability via a participatory approach to planning practice. Legislation supports this approach, with the equality-motivated RDP setting the stage for all future policies and plans (Government of South Africa, 1994). The acts and plans are commendable as they reflect on the past while striving to redefine the country as promoting mutual respect and equal opportunity. Crafted to adhere to Agenda 21 principles, the IDP is the municipal method of implementation and promotes a participatory approach to planning (United Nations Economic and Social Council, 2008).

Study results conclude that decision makers feel the IDP process is flawed and it fails in its intent of creating an equal society. It is described as very ineffective, largely because it is heavily motivated by political pursuit as opposed to the initial purpose of serving the citizenry. This concurs with Flyvbjerg (2003) who has stated that power determines reality and serves only the knowledge that supports its purpose while ignoring the knowledge that does not. Part of the problem with the IDP, and the entire municipal planning process for that matter, is a break down in the public participation process. Study results show that public participation policy is adhered to since people must be informed about new developments. Some view this as clear success from past apartheid structures since citizens of all races must be consulted. But, the majority indicated that it is the already empowered who truly engage, including individuals from the White population and community leaders from all races who have social influence. These results harmonize with Howell, et. al. (1987) who discussed how the enthusiasm of influential (not necessarily elite) individuals spreads through communities, diffusing opposition. The Dwars River Valley case shows that it is not only the historically advantaged groups who have power in public processes since key influential local actors are relied upon by the elite to obtain buy in from community members.

While South African planning literature promotes a participatory planning style (see Government of South Africa, 1994 & ANC 2009), the reality resembles the Rational Comprehensive Model. This is despite the fact that participatory approaches are followed according to legal requirements. Essentially, citizen opinion is required but the final decisions are made by a central decision making authority (typically municipal managers and politicians). Interviews revealed that political will significantly shapes

the outcome with public participation becoming a form of statutory compliance that must be followed. This complies Flyvbjerg (2003) has described the role that power plays in determining reality. However, the Dwars River Valley case deviates from Flyvbjerg's all encompassing analysis because there are pockets of people from all socio-economic classes and races working together towards common goals. For instance, the Meerlust Bosbou housing project involves a myriad of actors, led by the local Councillor who is Coloured, and a local White land owner. Their identified opponents are local (White) land owners who stopped a previous housing project. This suggests that people of all races and economic status can work together for the collective good. The Boschendal development project has also relied on a substantial mix of individuals from all communities, organizations, and races (as discussed in Dennis Moss Partnership, 2008). While the ultimate motivation may be criticized by many, it proves that people of all races and socio-economic backgrounds are able to cooperate. At the time of this writing, it is too soon to determine whether or not the Boschendal development will promote segregation or integration. Results from interviews reveal that people fear the project will further the divide between socio-economic classes and racial groups while promoting urban sprawl. They also fear that the promised benefits to the community will not materialize. This is a very interesting area for future research. In some ways, the planning style has changed from a "hyper-rational comprehensive style" to a more participatory approach that aims at integration. However, the evidence shows that public participation is a "going through the motions" process and integration is difficult to achieve due to economic and political factors. Arnstein (1969) described how simply going through the "empty ritual of participation" does not mean that the "have-nots" can harness the power to ultimately influence outcomes. Participation without redistribution of power, she claims, only allows those with power to maintain that citizens were actually engaged, despite the fact that it had little impact, if any, on the outcome. Therefore, decision making is primarily conducted at a central level and the process is partially participatory but rational comprehensive in practice. In contrast, other literature that assumes that public participation will result in more democratic and ultimately equitable outcomes (see United Nations, 2009 and Government of South Africa, 1994) fails to recognize that power dynamics and political persuasion can ultimately determine results. At the same time there is evidence (as demonstrated by the Meerlust Bosbou project) that positive action occurs outside of the official planning process whereby individuals can and do work together for common goals.

Table 6 shows the applicability of past planning models in the Stellenbosch Municipality setting, based on results from this case study. It appears that there are elements of each that may be used at

different stages. While elements of each may be used, there are anomalies that planners must be aware of when picking and choosing from various planning models.

5.2 Monitoring and evaluation

Planning literature clearly stresses the importance of monitoring and evaluation in the planning process (see Faludi, 2000, Hoch 2002; Berke & Conroy, 2000). The benefits are clear: it allows decision makers to assess whether or not plan implementation matches initially set objectives and determines if goals have been met (Seasons, 2009a). The importance of reviewing the actual plan is also important. It is an ongoing process that constantly requires adjustments since social, economic and political change impacts the dynamic planning process and outcomes (Faludi, 2000). Thus, formative and summative forms of evaluation are important so that plans can be adjusted to meet long term strategies (Seasons, 2009a). Literature suggests that plans are monitored by tracking indicators that are chosen early in the planning process.

The Municipal Systems Act (2000) requires that monitoring and evaluation is included in the IDP process (Government of South Africa, 2000). In Stellenbosch Municipality's 2009 IDP, each sector provided targets and indicators to track progress (Stellenbosch Municipality, 2009). Results are highlighted in the IDP as statistics (Stellenbosch Municipality, 2009). For instance, it states the number of new households that have been provided with water supply and the number of new social housing units that have been built (Stellenbosch Municipality, 2009). However, despite what is revealed in the IDP, decision makers agree that monitoring and evaluation is a significant weakness in the planning process. While statistics may be provided, effectiveness towards reaching long term goals is not apparent. Political volatility also causes disruption in the process whereby new governments change long term plans and Municipal Directors, forcing municipal workers to restart the process. Directors receive bonuses based on performance towards reaching set goals (again, based on statistics) but the outcomes are sometimes out of their control due to the political nature of the planning process. Furthermore, the IDP process itself is not properly evaluated. Thus, plan monitoring and evaluation is a legal requirement that has little to no influence on outcomes.

In spite of this, decision makers all recognize that monitoring and evaluation is an important task but they face significant barriers. The political nature of the process impacts effectiveness since it takes time and resources (human and financial) that are in short supply in the economically stressed municipality. Furthermore, philosophical goals can be difficult to measure. Meaning: the driving force of

all South African planning policy is equality (ANC, 2009). It is meant to reverse past discrimination, promote an integrated society and eradicate the poverty that is the result of apartheid planning (Government of South Africa, 1994; ANC, 2009; Stellenbosch Municipality, 2009). Local level planning is the key instrument in achieving these goals (Government of South Africa, 2000). But, measuring outcomes is a great achievement for even resource rich municipalities in the Global North (Seasons, 2009a). It clearly becomes a secondary (or last) priority when the bulk of human needs are overwhelming. Also, creating an integrated society at a time when global forces increases the divide between rich and poor in all societies is a near impossible feat.

The Dwars River Valley case shows that multi-racial actors, along with foreign partners have worked together toward implementing the Boschendal development. Thus, the decision making process is no longer dominated by the White population. It now consists of various races working together. However, the gap between rich and poor continues with Black and Coloured people making up the majority of those who live in poverty is still significant. Local “historically disadvantaged” people support developments like Boschendal due to hopeful benefits, while community activists, municipal planners and managers scrutinize with doubt. Thus, monitoring and evaluation of long term goals of equality are not tangible when the reality of simple survival takes precedence for the majority of the population. When external actors promise benefits that can increase municipal wealth and potential economic benefit to identified community actors, long term goals of integration, social equality and environmental sustainability are secondary. At the same time, such development can be positioned as meeting long term goals of poverty alleviation since promises of job creation guarantees community buy in. Hence, there is a grey area that can be interpreted differently by various actors. To some, a development may be furthering long term goals of social equity while to others it counters these goals. Measurement becomes “it depends on who you ask”. For this reason, it is important to adhere to monitoring and evaluation literature which recommends a multi-pronged methodological approach (Seasons, 2009a).

This research recommends that monitoring and evaluation be performed by a selection of individuals from all study groups. While it should be led by the municipal planners and managers, it should encompass a selection of actors across the municipality. Sub-committees could be formed in regions such as the Dwars River Valley and would consist of local stakeholders including local land owners, farm workers, NGOs and community leaders. The sub-committee would establish themes such as quality of life or environmental integrity before deciding upon indicators for tracking progress. They

could also conduct yearly interviews with local managers, giving them an opportunity to report on progress and explain barriers to achieving results. This would also form the basis of relationship building between government employees and local people. Representatives from the subcommittees could come together to combine findings in order to deliver a single report card to the municipality. This could be presented yearly to the municipality and published in local media outlets outlining progress towards long term goals.

The Dwars River Valley case shows that local people from historically conflicting groups have the ability to cooperate. Monitoring and evaluation could be a way of building on this cooperation while at the same time strengthening community education of the planning process and enhancing public participation.

The literature on plan evaluation and monitoring clearly discusses the importance of completing “checks and balances” to ensure that plan goals are met. It has also been described how the reality of successfully implementing an effective monitoring and evaluation program is challenging in resource poor countries (See Seasons, 2009a and Hoch, 2002). But, the literature does not adequately discuss how effective monitoring and evaluation can (and should) occur when there is political volatility. This is clearly an area for future research. Perhaps the ideal solution is for municipal planning departments such as Stellenbosch to adhere to Faludi’s (2000) stance: that the learning that is encapsulated within and throughout the planning process is as important as the results, and the material outcomes are less important. This study indicates that this occurs on an informal level in that the planners interviewed are reflective and clearly contemplate planning processes. However, in a country such as South Africa, where basic needs such as housing provision are so vast, it is difficult to ignore the importance of material outcomes. Clearly plan monitoring and evaluation in the South African setting is an area that requires more research and publications because it is not only a policy requirement but also planners recognize it as being very important. Throughout this research, no articles specific to plan monitoring and evaluation in the South African setting were found.

Table 6: Application of planning models to DRV case

Planning model	Key characteristics	Application to DRV case
Transactive	<ul style="list-style-type: none"> • Links expert knowledge with experiential knowledge • Face to face dialogue between planners and affected population • Situation specific 	<ul style="list-style-type: none"> • Although SA planning promotes decentered planning, in fact it is quite centralized • Would help decentralize

	<ul style="list-style-type: none"> • Applicable to decentered planning • Engage public from beginning of process • Participatory style, requires listening skills • All involved share problems • Works best in small groups – up to 20 people • Brings detailed, specific information to issue • Potential to strengthen community and achieve collective solidarity 	<p>decision making processes</p> <ul style="list-style-type: none"> • Potential in that planner/public engagement remains high • Potential to strengthen community solidarity • Promotes listening skills • Risk remains potential for paternalism
Communicative	<ul style="list-style-type: none"> • Planner listens to public viewpoints and forges a consensus among different viewpoints. • Planner becomes experiential learner rather than technocrat • Planner ensures that no single group opinion will dominate • Criticism: tendency to substitute moral exhortation for analysis • Shift from criticism to action flawed • Powerless receive symbolic benefits rather than equitable consideration • Planner at center of process • Potential for unjust results 	<ul style="list-style-type: none"> • Positive elements such as the role of listening that planners adhere to • But, risky in the SA setting due to potential unbalanced distribution between classes • Potential for unjust results
Collaborative	<ul style="list-style-type: none"> • Mutually agreed upon result from participants • Based on notion that individuals do not have fixed interests based on political ideology • Interpretations by groups in similar structural positions can vary • Considers historical contexts and power • Requires crisis or social movement to alter perceptions 	<ul style="list-style-type: none"> • Requires mobilization • Simple change of dialogue ineffective • Requires dramatic social change
Advocacy	<ul style="list-style-type: none"> • Planners physically located in communities • Planners represent neighbourhood residents • Personally risky for planners • Tendency to raise community expectations 	<ul style="list-style-type: none"> • Requires resources • Fiscally difficult • Potential to strengthen distrust if hopes are set high only to end in disappointment

	<ul style="list-style-type: none"> • Creates assumption that city works on behalf of public, resulting in decreased involvement • Very difficult for planners 	
Incrementalism	<ul style="list-style-type: none"> • Simultaneous selection of goals and policies • Only alternatives marginally different from status quo considered • Social experimentation chosen over theory 	<ul style="list-style-type: none"> • Promotes consideration of few alternatives • Not practical given heightened complexity of SA planning practice

5.3 Water Management

Literature regarding South African water resources reveals that distribution and management mirrors the historical inequality reflected in South African planning practice. Inequality to water resources coincides with economic inequality (Cullis and van Koppen, 2007). During apartheid modernization efforts concentrated on central business districts and White suburbs while Black and Coloured areas were left with minimal supply to water and sanitation (Wylie, 2001). The RDP set out to correct this by identifying three main goals for water management: 1) every person's health and functional requirements, 2) raising agricultural output, and 3) supporting economic development (Government of South Africa, 1994). Water delivery is commendable in the Stellenbosch municipality as engineers have significantly met set objectives (Stellenbosch Municipality, 2009). The Dwars River Valley case demonstrates that the South African government has primarily delivered on its goal of providing water and sanitation to the majority for health and functional requirements. However, water for raising agricultural outputs for the disadvantaged and supporting economic development are two areas for improvement simply because the majority of land (and subsequently water) is retained by the wealthy. Despite this, the main concern for study participants is water pollution in the Dwars and Berg rivers, as opposed to water equality (as in bulk supply and access) between people of all races and economic status. Since the Dwars River Valley is water rich because the surrounding mountains provide copious amounts of water, people are not concerned with distribution equality. Simply, they have enough to perform daily household activities and in many cases, prefer the quality of water they obtained from local streams, before it was supplied by the municipality. In this way, the disinterest in water management as a symbol for equality reflects a break down in the planning process since overall goals of water equity have been replaced with the issue of having enough for domestic use. Academic literature may discuss in depth equality of water resources

(and management of these resources) (see Bate & Tren, 2002; Bond, 2000) but the reality is that people continue to use water resources as they historically have, with the exception that now all people have domestic supply delivered by the municipality or a stand pipe nearby. Commercial farmers still hold the majority of the land and the poor are simply happy to own land via the social housing projects with water supplied. The link between “having enough” and what is possible is not made since other issues (unemployment, crime, and addictions) take priority.

At the same time, since water pollution is a shared concern among stakeholders and decision makers this is an opportunity for dialogue between actors from various groups. Currently local land owners, farm workers and representatives from NGOs all individually monitor water quality and activity. Municipal and federal engineers, along with educational think tanks also monitor water quality and activity but there is no collective data base to share findings. This presents an opportunity for groups to share information while protecting a valuable resource valued by all. This is best led by municipal engineers and planners, working with local stakeholder groups. Study evidence shows that the NGOs, activists and farm workers are most concerned with this issue. Therefore, it makes sense that these groups must be involved during the planning and implementation of this project.

Distrust in individual intentions has also been a common theme that emerged throughout this research. Planning literature suggests that if the right planning model is developed (which is dominantly accepted as participatory in nature) then the process should be successful (Arnstein, 1969; Ostrom, 1990). However, this is difficult in societies that carry scars left from deliberately discriminatory practices and years of conflict. First, ground work must be laid in communities before any form of productive dialogue can occur. South Africa holds many “mini-societies” whereby people live side by side but have little true understanding of one another. Asking people to participate in public processes is skipping the vital step of getting them to speak to one another and interact in daily life. Given water’s centrality in daily life, it has the potential to be a non-controversial activity, bringing all stakeholders together to work towards a common goal. This would set the stage for relationship building among stakeholders who have rarely communicated in the past. A non-partial community figure would have to lead such a mutually beneficial project because any party who is viewed as having ulterior motives would be mistrusted. For instance, Breyton Paulse is a Coloured South African rugby player who was raised in the Dwars River Valley. In South Africa, rugby is historically a White-dominated sport but one also closely followed by Colored people in the Western Cape. Paulse’s place in the South African side that captured the 1994 Rugby World Cup continues to serve as a symbol of post apartheid progress. A popular figure such as Paulse could

bring communities together to work on a collective environmental project such as cleaning the local rivers since it is a concern identified by all stakeholder groups. This could be a community event that happens on Earth Day or during World Water Day with an overall intent of enhancing community relationships, strengthening trust and providing a foundation for future public participation initiatives. This approach fosters the ultimate goals of integration of resources and community members (Box 1).

Box 1:

Stakeholder X lives in Pniel. His teenage son is being educated at a formerly all-white private school in Stellenbosch where, among other things, he plays rugby. When asked to comment on the upcoming match between South Africa and New Zealand, Stakeholder X stated: 'We love our rugby. During apartheid we always supported the (New Zealand) All Blacks, especially against the (South African) Springboks. But today, I am trying to support South Africa because my son does. In my heart, it is still difficult to support the Springboks, but for my son, and for a united South Africa, I am trying to change my colors. Whatever happens, we hope that the non-white players do well.'

5.4 Research questions

See Table 7 for a full illustration of the links made between the research objective, research questions, applicable literature, expectations, methodology and findings.

1). How effective is the IDP process?

The IDP process provides planners with a framework of where to focus resources (Government of South Africa, 2000). However, this study indicates that it has had little success both in promoting social integration and in altering the power dynamics reflected in spatial arrangements. As articulated by decision makers, it is a tool that municipalities can use in conjunction with other instruments. This is not to say that progress has not been made since the public participation process presents opportunities for people of all races and social classes to voice their opinion. However, while the IDP may promote a bottom up approach, citizen understanding of all planning options is limited. The IDP is a tool that is used but there is much work to be accomplished in the realm of social integration. Government departments must work strategically toward long term goals.

2). Do land use decisions match on the ground realities?

Public participation is meant to drive all decisions (Government of South Africa, 1994; ANC, 2009; Stellenbosch Municipality, 2009). The results of this study indicate that while progress has been made, there is still work to be done towards achieving an effective process. The IDP is meant to be the main policy framework that drives all municipal decisions; however, it has little power towards influencing significant change. The IDP neither influences nor alters the spatial layout to promote integration. It also does not have any real clout in preventing unsustainable practices. The power distribution has altered in the post-apartheid era as those who dominate are multi-racial actors who hold economic or political influence. Underlying historical imbalances must be corrected in order to truly impact long term change. The Boschendal Sustainability Development Initiative may ultimately be in line with the long term goals of promoting social equity but at the time of this writing, it is too early to make an assessment. This is an area for future research.

3). Following from Flyvbjerg (2003), is implementation a result of political power, regardless of the planning model developed?

The Dwars River Valley case demonstrates that power is essential to implementation. The power dynamics in the DRV are complex where, unlike the past, multi-racial actor coalitions work together for commonly articulated goals. Obtaining community support relies on key individuals with social influence in local communities, political leaders, and a myriad of groups with a special interest in environmental and social issues in the valley. Hence, the apartheid legacy of White versus Coloured or Black has shifted significantly. While this is clearly obvious in cases such as Boschendal which is a high profile, highly sensitive endeavor, it is somewhat varied for less public initiatives. For instance, White foreign wine estate owners may come together to halt social projects such as the RDP housing. The power dynamic in this case continues to hold past characteristics with White, wealthy people benefiting.

Clearly if one has financial means and education, they are more equipped to contest projects and negotiate settlements.

4). To what extent do participatory planning models lead to mutually beneficial outcomes among differently empowered stakeholders?

The Dwars River Valley case demonstrates that there is potential for mutually beneficial outcomes among differently empowered stakeholders. However, effort must be made to heal the legacies

of apartheid experienced among all actors. There must be a level of trust in negotiations in order to achieve results that benefit all individuals. This also requires transparency and honesty in all interactions. If promises are not delivered and “fine print” alters expected outcomes, it will clearly deteriorate all future negotiations. Furthermore, public sector planners must be more involved in educating citizens on planning consequences and benefits. This includes offering “full information about alternative approaches to avoid mistakes and pitfalls” (Hakim, 1982, p. 138).

5). Does successful implementation require a constellation of powerful actors united in a common vision?

Undoubtedly, successful implementation requires a deep commitment from a multitude of powerful actors, united in a common vision. It also entails influential actors to secure political support (as discussed by Flyvbjerg, 2003).

Post-apartheid South Africa can give rise to interesting and unexpected coalitions for the public good that was not possible in the past. There are community actors who are striving to work with communities to improve overall conditions for all. For instance, when the Meerlust Bosbou community attempted to obtain land rights and expand into a social housing settlement, the primarily White and wealthy Groot Drakenstein Land Owners Association intervened and stopped the project. Mark Solms, also White and wealthy, is currently working with the Meerlust Bosbou group to establish an environmentally and economically sustainable community that benefits the current residents. In this case, White actors are seen to be working with the previously disempowered to improve conditions while other White residents attempt to halt it.

Ultimately, there must be an environment whereby all actors are able to communicate in a trusting and transparent environment (Laburn-Peart, 1998; Emmett, 2000). Transparency in the planning process is essential to establish confidence. Public sector planners can assist with cultivating trust by offering in-depth explanations of planning processes (including potential outcomes and options). The ultimate goal is for the public to understand potential long term consequences and/or benefits of decisions.

Table 7: Conceptual framework with results

	Research Objective: to determine the relevance of the present planning model in achieving the stated goals of social equity and environmental sustainability, within the Dwars River Valley, Stellenbosch Municipality, Western Cape, South Africa.				
Research Question	Explanation	Literature	Expectations	Methodology	Outcomes
1). How effective is the IDP process?	The South African government, along with international agencies and western governments created the IDP post-1994 as a solution to the “hyper-RCM” apartheid planning model.	Government of South Africa (1994) Bond (2000) Lichfield (2006) Hoch (2002) Seasons (2009) Faludi (2000) Harrison (2006) Van der Waal (2005) Stellenbosch Municipality (2009) UNDP (2009) Pieterse (2004)	Based on Flyvbjerg (2003), power dictates results. But, Harrison (2006), states that more research must be done to evaluate IDP effectiveness and it will take time. For him and others (Pieterse, 2004). The real challenge is reversing societal inequalities.	Qualitative research design. Review of all relevant documents. Open ended questions, video and photographs. Transcribed, then inputted into NVivo software, before being analyzed using a “grounded theory” approach whereby common themes emerged.	There are elements of success but true change will take time since historical influences profoundly complicates outcomes. The IDP process provides planners with a framework of where to focus resources. However, it has had little success both in promoting social integration and in altering the power dynamics reflected in spatial arrangements.
2). Do land use decisions match on the ground realities?	To determine whether or not the planning model succeeds in reaching overall goals. There has been criticism that results do not reflect policies. This is often expressed sectoral specifically (e.g. water	Cullis and Van Koppen (2007) Bate & Tren (2002) Wylie (2001) Harrison (2006) Pillay et. al (2006) Van der Waal (2005) Stellenbosch Municipality	Literature suggests that power dynamics and historical struggles present vast barriers to matching plans with realities.		While progress has been made, there is still work to be done towards achieving an effective process. Despite progress made, there is still unequal distribution of resources.

	resources and electricity).	(2009) Harrison et. al (2008) Maylam (1995) South Africa (2008)			
3). Following from Flyvbjerg (2003), is implementation a result of political power, regardless of the planning model developed?	Demonstrates potential barriers, if any, to successful plan implementation. Power dynamics mark South African decision making processes and has assisted in designing the country's architecture. Asks: is this still at play, regardless of policy that promotes equal participation?	Flyvbjerg (2003) Arnstein (1969) Ostrom (1990) Laburn-Peart (1998) Davidoff (2003) Emmett (2000) Taylor (1998) United Nations (2009) UNDP (2009) Van der Waal (2005)	South Africa planning practice has been historically shaped by power dynamics (Harrison et. al, 2006). Thus, Flyvbjerg's hypothesis is likely accurate, despite the literature that discusses how public participation can produce equal results.		Power is essential to implementation and ultimately determines outcomes.
4). To what extent do participatory planning models lead to mutually beneficial outcomes among differently empowered stakeholders?	The IDP entails a participatory planning model, which is believed to reflect democratic processes and obstruct power dynamics from dictating results. This question assists with	Ostrom (1990) United Nations (2009) Arnstein (1969) Davidoff (2003) Emmett (2000) Government of South Africa	Literature suggests that participatory planning models result in more equitable outcomes; however, these may be modest in environments where power has		There is potential for mutually beneficial outcomes among differently empowered stakeholders. However, effort must be made to heal the legacies of apartheid experienced among all actors. Decision making processes have

	determining whether or not citizen engagement in actuality impacts results?	(2000) ANC (2008) Laburn-Peart (1998) Stellenbosch Municipality (2009) ANC (2009) CSIR (2002) Davidoff (2003) Government of South Africa (1994) Taylor (1998) UNDP (2009) Van der Waal (2005)	historically and continues to dominate.		improved with stakeholder engagement but truly implementing change via public participation is difficult to attain.
5). Does successful implementation require a constellation of powerful actors united in a common vision?	Many actors working together via a “bottom up” approach is believed by agencies such as the UN to result in “good governance” but Flyvbjerg (2003) discusses in depth how power influences ultimately shape results.	Flyvbjerg (2003) Arnstein (1969) Cullis and Van Koppen (2007) Davidoff (2003) Emmett (2000) Taylor (1998) United Nations (2009) UNDP (2009) Van der Waal (2005)	Literature suggests that equitable results rely on public participation but power dynamics typically dominate.		Successful implementation requires a deep commitment from a multitude of powerful actors, united in a common vision. Yet, power ultimately determines outcomes and all decisions: good and bad, rely on powerful actors united in agreement.

5.5 Recommendations

1. Although time and resource consuming, there are long term benefits of public sector planners actively educating the public on planning processes. The public will understand development proposals, including consequences and benefits. Since many people have a lack of trust towards private planning firms, it is best that public sector or non-partial planners actively engage in the process.
2. Since decision makers acknowledged plan evaluation as a key weakness, this is an area that should be improved upon, recognizing, however, the decision makers' assessment that monitoring and evaluation is very costly (Seasons, 2009a; Hoch, 2002). A creative method of plan assessment is to establish a non-partial volunteer community committee with the responsibility of delivering a yearly report card to Council to be published in local media. For instance, the City of Kitchener in Ontario, Canada has the "Compass Committee" which is made up of local citizens who assess the municipality on areas such as environment, downtown revitalization and quality of life. The non-partial, diverse committee members establish key areas of concern, evaluate performance and report this back to Council and the local newspaper. A creative method of reporting may be beneficial in an economically-challenged municipality like Stellenbosch.
3. A clear barrier to plan implementation is the lack of trust between and among all actors. This study revealed that all study participants shared mutual concerns surrounding key areas such as environmental issues, social housing and water pollution. Thus, it is recommended that all individuals unite in a joint project that is led by an impartial party. For instance, a neutral sports figure with a community interest could unite all people together by leading on a community environmental initiative. This would gradually establish trust between all groups and further long term goals of effective public participation processes.
4. A legally binding and detailed spatial development framework would focus development in a systematic fashion and assist with long term environmental goals.
5. A shared database that holds information on water pollution acquired from all sources (think tanks, government departments, private sector) would allow for expedient analysis and assist with long term goals of pollution prevention.

6. A project based approach to planning initiatives such as social housing as opposed to a sectoral approach would decrease social problems associated with poverty. This means that local economic development strategies should be built in to planning for housing projects. Sports fields and community halls should be built at the same time as houses so that there is space for social networking and areas for youth to engage in positive activities.
7. Since the ultimate goal of the RDP and the IDP is integration (Government of South Africa, 2000; ANC, 2009), this should be taken into consideration in all planning decisions. An “integration” assessment should be established to assist with determining whether or not a plan proposal contributes to or contradicts the overall goal of social integration.
8. In South Africa there is a tendency to create new institutional structures to correspond with new approaches to resource management, with the new water architecture being a prime example. Given participation’s proposed centrality in decision-making, the tendency to create new structures manifests in the form of things such as ‘Forums’. As a result, existing forms of social organization and communication are being underutilized. For example, the church is a powerful entity in the Dwars River Valley. Planners should use existing networks of communication and participation such as the church as way of including and reaching out to local people where they feel comfortable. This would save time, resources and energy as planners would not have to “reinvent the wheel” on a continuous basis.

South Africa continues to be an economically, socially and racially divided society. These divisions are spatially expressed. The IDP process seeks, among other things, to overcome the worst aspects of South Africa’s apartheid past. Given the depth and breadth of these inequalities, it is unreasonable to expect meaningful change overnight. This case study highlights the contradictions of post-apartheid South Africa: divided in so many ways, but daily giving rise to creative coalitions united in the shared goal of a more sustainable and equitable future for all.

Appendix A

Republic of South Africa



802381 (R01345) 4-95

Appendix B

There are two interview guides included in this document.

Guide one consists of questions for planners, engineers, city officials, political leaders and other decision makers.

Guide two includes questions for key stakeholders within the Dwars River Valley (DRV) area. This group encompasses users of the water resource such as wine farmers, emerging farmers, business leaders, and other key stakeholders who represent various community groups such as women leaders and representatives of non-governmental organizations (NGOs), and researchers).

Guide 1: Planners, engineers, city officials, political leaders, other decision makers.

“First I am going to ask you particular questions about the planning process within the Municipality of Stellenbosch”

1. How does the present organization of the Municipality of Stellenbosch differ from pre-1994?

Possible follow-up questions:

How was the creation of areas determined?

2. How effective is this re-organization?

3. How are planning processes initiated within the Municipality of Stellenbosch?

Possible follow-up questions:

Who is involved in the planning process?

How is participation in the process decided?

Who decides who participates? (another way of asking the above probe)

How are people contacted if there are multiple people involved in the planning phase?

3. How is the planning process implemented in the Municipality of Stellenbosch?

Possible follow-up questions:

Who is involved in implementation?

How is participation decided?

How are people contacted?

How is ongoing public participation ensured (or is it)?

4. How is the planning process monitored and evaluated in the Municipality of Stellenbosch?

Possible follow-up questions:

How does the Municipality of Stellenbosch know whether or not the plans are manifesting on the ground?

How effective is monitoring and evaluating of plans within the Municipality of Stellenbosch?

How is equitable distribution of water resources measured? Is this a goal of the plan?

How is sustainability measured in the Municipality of Stellenbosch?

How are plans evaluated? What tools are used to measure success?

If I worked for the Municipality of Stellenbosch, how would I know that the planning documents are successful or not successful?

What do you believe is the most challenging aspect of plan implementation and evaluation?

5. Who pays for the planning processes within the Municipal level?

Possible follow-up questions:

What influence does finances have, if any, on the planning process?

6. What particular concerns do you see with the planning process within the Dwars River Valley area?

Possible follow-up questions:

What is your opinion of how the planning process works within the Municipality of Stellenbosch?

7. What do you think are the most significant concerns with regards to water resource management in the DRV area?

What is your opinion about how things have or have not changed since the promise of water for all was put into place in 1996?

8. Do planning documents adhere to District and National strategies?

Possible follow-up questions: How?

9. Does the Municipality use any planning models from any other region (nationally, continentally or globally) to assist with the planning, implementation and/or evaluation of the planning process?

10. What do you view as being the most effective way of planning, implementing and evaluating plans within the Municipality of Stellenbosch?

11. How were the areas for the IDP determined?

12. How do the Cape Winelands region and the LM work together in planning? How do they work together with regards to water resource management? Who is responsible for what?

“Thank you for your participation in this interview. As mentioned, I will follow up with you after completion of the study and supply an executive summary of the results.”

Guide 2: Key stakeholders within the Dwars River Valley area: users of the water resource such as wine farmers, emerging farmers, business leaders, and other key stakeholders who represent various community groups such as women leaders and representatives of non-governmental organizations (NGOs), and researchers).

“I am going to begin by asking you questions about the use of water resources within the Dwars River Valley area.”

1. Do you know how the Municipality of Stellenbosch is organized?

Possible follow-up questions:

Are you satisfied with the management framework of the municipality?

2. How do you use resources in the DRV?
3. What key concerns do you have with land management in the DRV?
4. What are your main concerns with regard to water resource management within the Dwars River Valley area? What do you think about how water is managed within the Dwars River Valley?
5. How does the planning within the DRV?
6. Who are the decision makers Dwars River Valley region?
7. What is your opinion of the decision making process in the DRV?
8. Do you see any differences in the way land and resources are being managed within the Dwars River Valley area since 1997?
9. Why do you think things have changed (if they do think things have changed) OR why do you think things have stayed the same?
10. Do you think that water *should* be managed equitably and in a sustainable manner?
Possible follow-up questions:
If so: What do you think is the most effective way of ensuring that water is managed in a sustainable and equitable manner in the Dwars River Valley area?
11. Do you believe that citizen input makes a difference with regards to planning and land development in the DRV?
12. Who is excluded in the allocation of resources?
What makes you hold this opinion?
13. Do you feel that public opinion gets incorporated into government strategies?
Possible follow-up questions:
Do you see any impacts of these strategies?
Do you notice anything different?
14. Do representatives from the Municipality of Stellenbosch, Cape Winelands District or the Federal government evaluate how resources are being managed in this region?
Possible follow-up questions:
How do they do this?
How do you know they do this?
Is it effective?
15. What would you like to see happen with regards to resource management in the Dwars River Valley?
Possible follow-up questions:
How would you like to see water/land resources planned in the future?
What would the future look like to you?

16. In the future, how would you know that water is being allocated equitably and sustainably?

“Thank you for your participation in this interview. As mentioned, I will follow up with you after completion of the study and supply an executive summary of the results.”

Appendix C

Interview materials

Email recruitment script

Dear [*potential participant*]:

My name is Corrine Cash and I am a Masters student in the School of Planning at the University of Waterloo, Canada. I am currently conducting research under the supervision of Dr. Murray Haight on planning for resource sustainability and social equity in South Africa, with a focus on the Dwars River Valley, Stellenbosch Municipality. As part of my thesis research, I am conducting interviews with residents within the Dwars River Valley area and professionals such as planners and developers to discover their perspectives on the effectiveness of the planning process.

As you play a key role in the planning process [*OR management of water resources OR as a key stakeholder*] in the Municipality of Stellenbosch [*OR Dwars River Valley area*], I would like to speak with you about your perspectives on the planning process within the Dwars River Valley area.

Background Information:

- I will be undertaking interviews starting in June 2009.
- The interview would last about one hour, and would be arranged for a time convenient to your schedule.
- Involvement in this interview is entirely voluntary and there are no known or anticipated risks to participation in this study.
- The questions pertain only to the planning process within the Dwars River Valley area. In particular, the questions will seek to address whether or not “on the ground realities” of match the goals outlined in the planning documents.
- You may decline to answer any of the interview questions you do not wish to answer and may terminate the interview at any time.
- With your permission, the interview will be tape-recorded to facilitate collection of information, and later transcribed for analysis.
- All information you provide will be considered confidential.
- The data collected will be kept in a secure location and disposed of in 5 years time. While in South Africa, the information will be stored on my password protected laptop and on a CD. These items will be kept in a locked briefcase, which I will carry with me at all times during travel back to Canada. In South Africa, I will also keep these items in a locked brief case and in a locked office at the University of Western Cape.
- If you have any questions regarding this study, or would like additional information to assist you in reaching a decision about participation, please feel free to contact Dr. Murray Haight at 00-1-519-888-4567, Ext. 33027.
- I would like to assure you that this study has been reviewed and received ethics clearance through the Office of Research Ethics at the University of Waterloo. However, the final decision about

participation is yours. Should you have any comments or concerns resulting from your participation in this study, please contact Dr. Susan Sykes in the Office of Research Ethics at 00-1-519-888-4567, Ext. 36005 or ssykes@uwaterloo.ca.

- After all of the data have been analyzed, you will receive an executive summary of the research results.
- With your permission, I would like to email/fax you an information letter which has all of these details along with contact names and numbers on it to help assist you in making a decision about your participation in this study.

Thank you very much for your time. Once again, if you have any questions or concerns please do not hesitate to contact me at my research office number 00-1-519-496-9156 (this number will be checked until June 4, 2009). After June 4, 2009, you can reach me on my cell phone in South Africa at 726-255176. You can also email me at any time at corrinecash@yahoo.com or ccash@uwaterloo.ca

Sincerely,

Corrine Cash
Masters Student
School of Planning
University of Waterloo

Information letter and consent form



School of Planning

University of Waterloo 00-1-519-954-6046
200 University Avenue 00-1-519-496-9156
West ccash@uwaterloo.ca
Waterloo, Ontario, Canada

Dear (insert person's name, or for example, employee of XYZ association):

This letter is an invitation to participate in a research study. As a Master's of Environmental Studies student in the School of Planning at the University of Waterloo, Canada, I am currently conducting research under the supervision of Professor Murray Haight on the effectiveness of planning models in

South Africa, with a focus on water and land management in the Dwars River Valley region of Stellenbosch Municipality.

Study Overview

In post apartheid South Africa, a new set of plans have been adopted and adapted from international practice to reach national goals of social equality, environmental sustainability and basic services for all. The adopted practice promotes the necessity of participatory planning to create a socially equitable and environmentally sustainable society. In particular, the once wealthier and White dominated Municipality of Stellenbosch now encompasses settlements that were situated on poor land with only limited access to basic services and water resources. As the Municipality of Stellenbosch moves forward with an overall development plan, they must now integrate the needs of all stakeholders and all communities so that the overall goal of social equity and environmental sustainability is achieved.

Since these stakeholders – including business and industry, commercial farmers, subsistence farmers, urban and peri-urban residents – have varying needs, sharing of resources and planning for social equality is particularly challenging. Toward this end, Greater Stellenbosch Municipality has been divided into nine management areas that are no longer determined by race or class. An integrated development plan (IDP) has emerged out of decisions based on the needs of people in each of these nine areas. Given the vast social and economic inequalities, particular attention is given to a participatory planning process, in the hope that the goal of these plans will be realized.

Focusing on the planning sector provides great insight into the success of matching the plan to on the ground realities since land and resources are a reflection of how economic, social and political resources are distributed. The purpose of this study is to determine the relevance of the present planning model in achieving the stated goals of social equity and environmental sustainability, within the Dwars River Valley, Stellenbosch Municipality, Western Cape, South Africa.

The research will involve interviews with two groups of people:

The first set of interviews will be with decision makers (including planners and environmental/water engineers). The point of these interviews will be to determine how plans are evaluated and monitored. The intent of this set of interviews is to reach a better understanding of how decision makers know whether or not the goals of the plans are being met. It will also seek to gain decision maker perspective with regards to the success of the planning process in the Municipality of Stellenbosch.

The next group of participants will be users of resources and interested stakeholders within the Dwars River Valley. They will be interviewed to understand their perspective on the planning process within the Dwars River Valley area. This set of interviews will attempt to understand whether or not the overall national goals of equitable and sustainable water management are being achieved. Once again, the purpose is to determine how this particular group evaluate success.

I would like to study the Dwars River Valley as my case study since it has a very diverse range of users in the area. As a key stakeholder within the Dwars River Valley, your input would provide valuable information and opinions to this study. For these reasons, I would like to invite you to participate in an in-person interview.

Your Involvement

The interviews will be conducted in person. If you agree to participate, I will forward the interview questions to you in advance. I will contact you again after you have received the interview questions to review any questions or concerns you may have and to seek your advice about whether or not other staff should be interviewed [or within the Dwars River Valley area]. I will also schedule an in-person interview with you at this time. The interviews will commence June 15, 2009.

The interview would last about one hour and would be arranged for a time convenient to your schedule. To ensure the accuracy of your input, I would ask your permission to audio record the interview.

Participation in the survey and interview is entirely voluntary and there are no known or anticipated risks to participation in this study. You may decline to answer any of the questions you do not wish to answer. Further, you may decide to withdraw from this study at any time, without any negative consequences, simply by letting me know your decision. All information you provide will be considered confidential unless otherwise agreed to, and the data collected will be kept in a secure location and confidentially disposed of in 5 years time. While in South Africa, the information will be stored on my password protected laptop and on a CD. These items will be kept in a locked briefcase, which I will carry with me at all times during travel back to Canada. In South Africa, I will also keep these items in a locked brief case and in a locked office at the University of Western Cape. If you chose anonymity, the data will be de-identified at the beginning of the interview process. (i). The data be encrypted for security purposes.

Your name will not appear in any thesis or publication resulting from the study unless you explicitly consent to be identified and have reviewed the thesis text and approved the use of the quote. After the

data has been analyzed, you will receive a copy of the executive summary. If you would be interested in greater detail, an electronic copy (e.g., PDF) of the entire thesis can be made available to you.

Contact Information

If you have any questions regarding this study, or would like additional information about participation, please contact me until June 4, 2009 at my research office number in Canada at 00-1-519-496-9156. After June 4, 2009, I can be reached on my cell phone in South Africa. This number is 726-255176. You can also email me at any time at corrinecash@yahoo.com or ccash@uwaterloo.ca.

You can also contact my supervisor Professor Murray Haight by telephone at 00-1-519-888-4567 ext. 33027 or by email at mehaight@uwaterloo.ca.

I assure you that this study has been reviewed and received ethics clearance through the Office of Research Ethics at the University of Waterloo. However, the final decision to participate is yours. If you have any comments or concerns resulting from your participation in this study, please contact Dr. Susan Sykes of this office at 00-1-519-888-4567 ext. 36005 or ssykes@uwaterloo.ca.

Thank you in advance for your interest and assistance with this research.

Yours very truly,

Corrine Cash

Masters Student, School of Planning

CONSENT FORM

I have read the information presented in the information letter about a study being conducted by Corrine Cash of the School of Planning at the University of Waterloo. I have had the opportunity to ask any questions related to this study, to receive satisfactory answers to my questions, and any additional details I wanted.

I am aware that I have the option of allowing my interview to be audio recorded to ensure an accurate recording of my responses.

I am also aware that excerpts from the interview may be included in the thesis and/or publications to come from this research, with the understanding that the quotations will be

anonymous unless I consent to identification and the use of attributed quotations in the thesis and any publications.

I was informed that I may withdraw my consent at any time without penalty by advising the researcher.

This project has been reviewed by, and received ethics clearance through, the Office of Research Ethics at the University of Waterloo. I was informed that if I have any comments or concerns resulting from my participation in this study, I may contact Dr. Susan Sykes Director, Office of Research Ethics at 00-1-519-888-4567ext. 36005 or by email at: ssykes@uwaterloo.ca.

With full knowledge of all foregoing, I agree, of my own free will, to participate in this study.

YES NO

I agree to have my interview audio recorded.

YES NO

I agree to the use of anonymous quotations in any thesis or publication that comes of this research.

YES NO

I agree to identification and use of attributed quotations in the thesis or any publications that come from this research.

YES NO

Participant Name: _____ (Please print)

Participant Signature: _____

Witness Name: _____ (Please print)

Witness Signature: _____

Date: _____

Telephone recruitment script

P = Potential Participant; I = Interviewer

I - May I please speak to [name of potential participant]?

P - Hello, [name of potential participant] speaking. How may I help you?

I - My name is Corrine Cash and I am a Masters student in the School of Planning at the University of Waterloo, Canada. I am currently conducting research under the supervision of Dr. Murray Haight on planning for resource sustainability and social equity in South Africa, with a focus on the Dwars River Valley, Stellenbosch Municipality. As part of my thesis research, I am conducting interviews with residents within the Dwars River Valley area and professionals such as planners and developers to discover their perspectives on the effectiveness of the planning process.

As you play a key role in the planning process [OR management of water resources OR as a key stakeholder] in the Municipality of Stellenbosch [OR Dwars River Valley area], I would like to speak with you about your perspectives on the planning process within the Dwars River Valley area. Is this a convenient time to give you further information about the interviews?

P - No, could you call back later (agree on a more convenient time to call person back).

OR

P - Yes, could you provide me with some more information regarding the interviews you will be conducting?

I - Background Information:

- I will be undertaking interviews starting in June 2009.
- The interview would last about one hour, and would be arranged for a time convenient to your schedule.
- Involvement in this interview is entirely voluntary and there are no known or anticipated risks to participation in this study.
- The questions are quite general (for example, a question may involve how you know that the planning documents are successfully being implemented in the Dwars River Valley area as they pertain to water resources).
- You may decline to answer any of the interview questions you do not wish to answer and may terminate the interview at any time.
- With your permission, the interview will be tape-recorded to facilitate collection of information, and later transcribed for analysis.

- All information you provide will be considered confidential. The data collected will be kept in a secure location and disposed of in 5 years time. While in South Africa, the information will be stored on my password protected laptop and on a CD. These items will be kept in a locked briefcase, which I will carry with me at all times during travel back to Canada. In South Africa, I will also keep these items in a locked brief case and in a locked office at the University of Western Cape
- If you have any questions regarding this study, or would like additional information to assist you in reaching a decision about participation, please feel free to contact Dr. Murray Haight at 00-1-519-888-4567, Ext. 33027.
- I would like to assure you that this study has been reviewed and received ethics clearance through the Office of Research Ethics at the University of Waterloo. However, the final decision about participation is yours. Should you have any comments or concerns resulting from your participation in this study, please contact Dr. Susan Sykes in the Office of Research Ethics at 00-1-519-888-4567, Ext. 36005 or ssykes@uwaterloo.ca.
- After all of the data have been analyzed, you will receive an executive summary of the research results.

With your permission, I would like to email/fax you an information letter which has all of these details along with contact names and numbers on it to help assist you in making a decision about your participation in this study.

P - No thank you.

OR

P - Sure (get contact information from potential participant i.e., mailing address/fax number).

I - Thank you very much for your time. May I call you in 2 or 3 days to see if you are interested in being interviewed? Once again, if you have any questions or concerns please do not hesitate to contact me at my research office number at 00-1-519-496-9156 (this number will be checked until June 4, 2009). After June 4, 2009, you can reach me on my cell phone in South Africa at 726-255176. You can also email me at any time at corrinecash@yahoo.com or ccash@uwaterloo.ca

P - Good-bye.

I - Good-bye.

Participant thank you letter

University of Waterloo

Date

Dear (*Insert Name of Participant*),

I would like to thank you for your participation in this study. As a reminder, the purpose of this study is to determine the relevance of the present planning model in achieving the stated goals of social equity and environmental sustainability, within the Dwars River Valley, of the Stellenbosch Municipality, Western Cape, South Africa.

The data collected during interviews will contribute to a better understanding of the appropriate direction of future planning processes in the Dwars River Valley area. It will also shed light on the development and implementation of evaluation and monitoring of planning processes within the Municipality of Stellenbosch.

Please remember that any data pertaining to you as an individual participant will be kept confidential. Once all the data are collected and analyzed for this project, I plan on sharing this information with the research community through conferences, presentations, and potentially journal articles unless you gave permission to be identified in the thesis and any publication. If you are interested in receiving more information regarding the results of this study, or if you have any questions or concerns, please contact me at either the phone number or email address listed at the bottom of the page. If you would like a summary of the results, please let me know now by providing me with your email address. When the study is completed, I will send it to you. The study is expected to be completed by December 2009.

As with all University of Waterloo projects involving human participants, this project was reviewed by, and received ethics clearance through, the Office of Research Ethics at the University of Waterloo. Should you have any comments or concerns resulting from your participation in this study, please contact Dr. Susan Sykes in the Office of Research Ethics at 00-1-519-888-4567, Ext., 36005.

Corrine Cash

University of Waterloo
School of Planning

Contact Telephone Number: 00-1-519-954-6046

Email Address: ccash@uwaterloo.ca or corrinecash@yahoo.com

Appendix D

Stellenbosch Municipality public participation policy for land development applications

Legislative requirements for public participation (Municipality of Stellenbosch, 2009)

Relevant legislation	Explanation
Section 15(2)(a) of LUPO ⁵	Applications are advertised if, in the opinion of the Municipal Manager any person may be adversely affected.
Section 15 (2)(c) of LUPO	Comments from interested persons (in opinion of Municipal Manager) must be obtained.
Section 24(2)(a) of LUPO	Comments from interested persons (in opinion of Municipal Manager) must be obtained (for subdivisions).
Section 17(2)(a) of LUPO	<u>All</u> rezoning applications must be advertised: the Municipal Manager does not decide.
Section 17(2)(c) of LUPO	Comments of interested persons must be obtained before a decision is made on the application. Multiple applications must be advertised simultaneously.
Removal of Restrictions Act 84 of 1967 – Sections 2(4)(a) and (b)	Applications submitted in terms of this Act must be advertised by the Premier once in the Provincial Gazette and twice in the press in two languages.
National Building Regulations and Standards Act 103 of 1977 as Amended (NBR) and PAJA ⁶	Typically there are no restrictions for public participation before a decision is made on a building plan application. But, Council may advertise a building plan application if they believe it may adversely affect surrounding property owners.

⁵ LUPO stands for the Land Use Planning Ordinance (Ordinance 15 of 1985)

⁶ PAJA stands for the Promotion of Administrative Justice Act 3 of 2000

Advertising process for public participation (Stellenbosch Municipality, 2009)

<p>Informal pre-application consultation</p>	<ol style="list-style-type: none"> 1. Applicant “advised” to meet with a Council planning official (via meeting, phone or email) 2. Planning officials informs applicant of the process including: <ul style="list-style-type: none"> • anticipated extent & form of advertising • applicable fees • time frames • responsibility of advertising (applicant or Council)
<p>Advertising by applicant</p>	<ol style="list-style-type: none"> 1. Council approves draft notices prepared by the applicant (legal requirements for time frame must be met) 2. Complete list of names and addresses of I&APs is given to applicant by Council 3. Applicant provides Council with proof of compliance within 14 days from the date of commencement of the advertising
<p>Advertising by Council</p>	<ol style="list-style-type: none"> 1. Council may choose to advertise or the applicant may request Council to do so. 2. Applicant pays for advertising in accordance with the approved tariffs.
<p>Availability of files for inspection</p>	<ol style="list-style-type: none"> 1. Applications that are formally advertised are open to the public at Council offices during the advertising period. 2. Copies of notices with closing dates for comments and or objections also available in Council files.
<p>Submission of comments/objections by public</p>	<ol style="list-style-type: none"> 1. Must be written “and substantive” 2. Illiterate I&APs can request a Planning and Environment Department official to transcribe his or her comment/objection. 3. Comments/objections received after the closing date is invalid and disregarded.

**Time frame required for public participation process for land development applications
(Stellenbosch Municipality, 2009)**

Timeframe	Actions
21 days	<ul style="list-style-type: none"> • Time required for land development application to be advertised, based on opinion of Municipal Manager
30 calendar ⁷ days	<ul style="list-style-type: none"> • Time granted to I&AP's to comment or object. • Can be extended at the discretion of the Director (due to the complexity or impact of the development proposal)
60 calendar days	<ul style="list-style-type: none"> • Time granted to a public institutions to comment or object.
90 calendar days	<ul style="list-style-type: none"> • Allowed extension time for public institutions at discretion of Council
At closing date (determined by application)	<ul style="list-style-type: none"> • All comments and/or objections are sent to the applicant for comment
60 days	<ul style="list-style-type: none"> • Applicant must respond or request an extension of time (if granted by Council). • Can change their application or submit as it is.

⁷ The numbers of days allowed for commenting on development applications is calculated from the day of registering the letter and includes weekends and public holidays (Municipality of Stellenbosch, 2009).

Appendix E

Housing backlog in the Municipality of Stellenbosch (Municipality of Stellenbosch, 2009)

Origin of backlog	Current backlog	Future backlog (20 years)	Total backlog
Informal structures	7, 643	7,718	14,361
Overcrowded formal structures	9,000	21,000	30,000
Total housing requirement	16,643	28,718	44,361
Annual delivery for current backlog (5 years)	3,329	n/a	n/a
Total annual delivery (1 st five years)	4,765	1,436	n/a
Total annual delivery (next 15 years)	n/a	1,436	n/a

Appendix F

Key strategic focuses of future Integrated Human Settlement Strategy

Strategic focus	Key points
Key strategic initiatives in implementing a housing strategy.	<ol style="list-style-type: none"> 1. Enable housing provision in terms of the constitution 2. Enable housing provision through broad partnerships 3. Promote socially mixed integrated and sustainable neighbourhoods 4. Ensure sustainable use of scarce natural resources and eco-system services 5. Locate sustainable neighbourhoods in relation to development corridors and nodes 6. Preserve the sense of place that distinguishes the Greater Stellenbosch region
Overarching principles	<ol style="list-style-type: none"> 1. Facilitating access for the poor to work and live opportunities 2. Maintaining appropriate, functional norms and standards that meet sustainability criteria 3. Mobilising additional resources for housing and development
Broad interim delivery mechanisms are geared around	<ol style="list-style-type: none"> 1. Incremental formal housing 2. RDP housing 3. Social housing 4. Communal/transitional housing 5. Formalised home ownership 6. Private rental 7. Employer housing (especially farm worker housing)
Key sustainability interventions should be linked to the delivery strategies	<ol style="list-style-type: none"> 1. Energy supply and demand management 2. Water supply and demand management 3. Waste recycling 4. Greening 5. Public transport 6. Local economic development 7. Capability building for sustainable

	living
Key implementation interventions	<ol style="list-style-type: none"> 1. Municipal policy interventions 2. Institutional interventions 3. Funding interventions 4. Legal and by-law interventions 5. Capacity interventions 6. A structure implementation programme showing numbers per project on annualized basis 7. Indicators for measuring performance

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