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SUSTAINABILITY THROUGH COMMUNITY PLANNING: A SUBSTANTIVE LEVEL APPROACH

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**SUSTAINABILITY THROUGH
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SUBSTANTIVE LEVEL APPROACH**

OLA T.S.

DOCTOR OF PHILOSOPHY

OCTOBER 2009

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**SUSTAINABILITY THROUGH COMMUNITY PLANNING: A SUBSTANTIVE
LEVEL APPROACH**

by

TONI SOJI OLA

A thesis submitted to the University of Plymouth
in partial fulfilment for the degree of

DOCTOR OF PHILOSOPHY

Plymouth Business School
Faculty of Social Sciences & Business

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Abstract

Toni Soji Ola

Sustainability Through Community Planning: A Substantive Level Approach

This study identified ways of translating sustainability and sustainable development aims and objectives into practical means in a local government setting, through action research, thereby contributing to the global sustainability debate. This is in an attempt to fill the gap identified in literature, which relates to the paucity of research on translating sustainability into practical means.

In achieving one of its aims, the study proposed three levels of abstraction in the form of globalisation theory, sustainability theory and applied sustainable development, conceptualised as grand theory, meso theory and substantive theory. The linkage between these theories was established, thereby contributing and providing an insight into the sustainability debate and processes at the global, regional (EU), national (UK) and local (Haverling) levels of government. The study used the London Borough of Haverling as a case study in order to achieve the stated aim. This involved examining the case study's community strategy, called '*Haverling Community Strategy*' to demonstrate how sustainability is applied in a real life situation, in a local government context.

The study's findings revealed that at the substantive level – Haverling, sustainability is addressed from the perspective of the 1987 *Brundtland Report* on sustainable development. It also emerged from the study's findings that a number of factors are crucial in achieving global sustainability at the substantive level. These issues relate to the importance of creating strong partnerships between key stakeholders at the local level, capacity building, policy integration, multi-agency working and co-operation, and application of resources in achieving sustainability at the substantive level.

The study contributes to three levels of knowledge, namely, methodological, theoretical and practical knowledge. The study also demonstrates how action research methodology is applied in a real life situation, using a participatory inquiry world-view. The theoretical contribution relates to the three levels of abstraction (grand theory, meso theory and substantive theory) proposed in the study which add to the debates in globalisation and sustainability. The practical contribution relates to the development of a model for sustainable development policy and community strategy formation.

CONTENT

CHAPTER 1: INTRODUCTION

1.1	Background to the Study	1
1.2	Problem Statement and Research Questions	6
1.3	Research Context	11
1.4	Theories and Issues	13
1.5	Justification for the Research	18
1.6	Methodology	19
1.7	Structure of the Study	22
1.8	Conclusion	24

CHAPTER 2: REVIEW OF LITERATURE

2.1	Introduction	26
2.2	Sustainability and the History of Environmentalism: A Precursor to the Sustainable Development Debate	28
2.2.1	Defining Sustainability	28
2.2.2	The Evolution of Sustainable Development	36
2.2.3	The Different Definitions of Sustainable Development and its Intellectual Root	38
2.2.4	Integrating Sustainable Development Into Plans: What are the Issues?	44
2.2.5	Summary	56

2.3	Globalisation Theory	58
2.3.1	Introduction	58
2.3.2	Defining Globalisation	59
2.3.3	Tracing the Origin of Globalisation	63
2.3.4	Trends in Globalisation	66
2.3.5	Impact of Globalisation on Sustainability and Sustainable development	69
2.3.6	Summary	76

CHAPTER 3: STUDY METHODOLOGY

3.1	Introduction	82
3.2	In Search of an Appropriate Research Paradigm	83
3.2.1	Positivism	85
3.2.2	Interpretivism	86
3.2.3	Participatory Inquiry Paradigm	87
3.3	Justification for the Choice of Participatory Inquiry Paradigm	89
3.4	Research Methodology	94
3.4.1	Ethnographic Methodology	95
3.4.2	Case Study Methodology	98
3.4.3	Action Research Methodology	101
3.5	Justification for the Choice of Action Research Methodology	107
3.6	My Action Research Cycle	115

3.7	Sampling and Methods	120
3.7.1	Selection of Participants	120
3.7.2	Data Collection Strategy	122
3.7.3	Data Analysis Strategy	136
3.7.4	Coding Procedure	140
3.8	Limitations, Validity, Reliability and Generalisability	142
3.9	Conclusion	145

CHAPTER 4: THEORETICAL OVERVIEW: CONCEPTUALISING THREE LEVELS OF ABSTRACTION

4.1	Introduction	146
4.2	Setting the Scene – Defining Theory	147
4.3	Towards a Grand Theory of Globalisation	149
4.3.1	Defining Globalisation Theory and its Origin	150
4.3.2	Globalisation’s Relationship with the Regions, Nation State and Localities	156
4.3.3	Summary	162
4.4	Towards a Meso Theory of Sustainability	162
4.4.1	Sustainability - Definition	164
4.4.2	Different Approaches to Understanding Sustainability	165
4.4.3	Issues of Sustainability	171
4.4.3.1	Economic Sustainability	171
4.4.3.2	Environmental Sustainability	173

4.4.3.3 Social Sustainability	177
4.4.3.4 Institutional Sustainability	181
4.4.4 The Relevance of Globalisation Theory in Sustainability	182
4.4.5 Policy Implication of Globalisation and Sustainability on the Regions, Nation-States and Localities	192
4.4.6 Summary	196
4.5 Conclusion	198

CHAPTER 5: ANALYSIS OF THE FACTUAL FINDINGS

5.1 Introduction	200
5.2 Social Wellbeing	203
5.3 Economic Wellbeing	213
5.4 Environmental Wellbeing	215
5.5 Partnership Working	220
5.6 Joined-Up Working	228
5.7 Communication	231
5.8 Community Leadership	235
5.9 Summary of Major Themes and Coding Categories	240
5.10 Substantive Theory: Development and Discussion	247
5.10.1 Introduction	247
5.10.2 Social Wellbeing	249
5.10.3 Economic Wellbeing	252
5.10.4 Environmental Wellbeing	254
5.10.5 Partnership Working	256

5.10.6	Joined-up Working	259
5.10.7	Communication	260
5.10.8	Community Leadership	261
5.11	Idealised Model Developed in Support of the Substantive Theory to Evaluate Sustainability in Policy Development	264
5.12	Contribution to Knowledge Through Substantive Theory: Relationship Between Theory and Practice and the Outcome of Research Questions	274
5.12.1	The Key Issues that Underpinned the Havering Community Strategy, and how they were Developed <i>(Research Question 1)</i>	274
5.12.2	The Indicators Used in the Havering Community Strategy to Contribute to the Global Sustainable Development Debate and their Effectiveness in Achieving Sustainability in Urban Regeneration in Havering <i>(Research Questions 2a and 2b)</i>	283
5.12.3	The Framework Used for Integrating Sustainable Development Principle into the Havering Community Strategy Development Process <i>(Research Question 3)</i>	294
5.13	Discussion about the Research Problem	297
5.14	Conclusion	300

CHAPTER 6: CONCLUSIONS AND IMPLICATIONS

6.1	Introduction	302
6.2	Contribution to Knowledge and Implication for Theory	304
6.3	Contribution to Practice	308
6.4	Limitations of the Study and Suggestions for Further Research	316

APPENDIX

Appendix A:	Multi-criteria Analysis of the Published Havering Community Strategies: 2002 – 2007	323
Appendix B:	Detailed Review Of Paradigms of Enquiry	341
Appendix C:	Semi Structured Interview Questions	352
Appendix D:	Results and Raw Data from Survey Questionnaires	354
Appendix E:	Social Wellbeing Theme: Coding Procedure	359

LIST OF ABBREVIATIONS	367
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REFERENCES	370
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LIST OF FIGURES

1	Flow diagram illustrating study structure	25
2	A three-action research cycles	113
3	A five-action research cycles	113
4	A four-action research cycles	115
5	A three-action research cycles	119
6	Focus group workshops developing HCS	130
7	Interactive and cyclic process of data collection and analysis	140

LIST OF TABLES

1	Sustainable development policy framework	49
2	Summary of key headline indicators for the evaluation of Sustainable Policy Development	52
3	A comparison of the assumptions underlying three research paradigms	88
4	Participant Observation Journal	127
5	Strong and Weak Sustainability	168
6	Major Theme (Social Wellbeing)	240
7	Major Theme (Economic Wellbeing)	241

8	Major Theme (Environmental Wellbeing)	242
9	Major Theme (Partnership Working)	243
10	Major Theme (Joined-up Working)	244
11	Major Theme (Communication)	245
12	Major Theme (Community Leadership)	246
13	Generic Sustainable Development Policy Framework	268
14	Generic Sustainable Development Policy Framework	269
15	Generic Sustainable Development Policy Framework	270
16	Generic Sustainable Development Policy Framework - Appendix A	328
17	Generic Sustainable Development Policy Framework - Appendix A	329
18	Generic Sustainable Development Policy Framework - Appendix A	330
19	Survey results of key officers involved in preparing Havering	356

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October 2009

Author's Declaration

At no time during the registration for the degree of Doctor of Philosophy has the author been registered for any other University award without prior agreement of the Graduate Committee.

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CHAPTER 1: INTRODUCTION

1.1 Background to the study

Sustainability and sustainable development as subjects have been widely discussed in a global context across academia, businesses and in government circles since the late 1970s and 1980s. This was more evident in the 1980s, when '*Our Common Future*' was published. This publication commonly referred to as the *Brundtland Report*, put sustainable development on the international map. Since the publication of the Report, there has been an explosion of research papers published on the theme of sustainability and sustainable development; either as a stand-alone topic or in relation to a specific subject area, such as in agriculture, economics or industry. However, there has never been a consensus on the definition itself, nor on the meaning of sustainable development as a theory amongst academics, despite the extensive research on the subject. Different emphases have been placed on the meaning and interpretation of sustainable development by different authors, to reflect different agenda. This is reflected in the various definitions of the theory as will be shown in this study. This assertion is reinforced by William et al (2004), Fowke and Prasad (1996) Redcliff (1989), Blowers (1993) and, Maclaren (1996), when they contend that the meaning of sustainable development is interpreted differently in various circles to reflect a wide ranging agenda. These authors also claim that there are numerous definitions of the theory which more often than not are conflicting and contradicting.

However, the most widely used definition of the theory of sustainable development is that advanced in 1987 by the *Brundtland Report (Our Common Future)*. In this report, sustainable development is defined as “development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (WCED, 1987: 43). Within the broad definition of sustainable development as outlined above, authors such as Redclift (1989), Blowers (1993) and Maclaren (1996) have however, adopted different emphases. These authors have taken the theory to mean development that is ecologically sustainable, with the emphasis being on the natural environment, resource conservation and protection of biological diversity. To others, such as Berke et al (2000), the term sustainable development connects both the ecological and socio-economic dimensions. This position assumes that developments must be ecologically, economically, socially, politically, culturally and institutionally sustainable.

From the literature described above, it is evident that many studies have been conducted on the theme of sustainable development since the 1980s when the sustainable development theme entered the global political debate. However, there is a paucity of research into how sustainability and the sustainable development theories are translated into practical measures. Although, *Agenda 21*, the major document produced at the Earth Summit in Rio in 1992 represented a blueprint on how to operationalise or translate sustainable development into practical measures at all levels of government. So far, however, there is no evidence of this happening. This paucity of research on translating sustainable development into practical measures, represents a gap in body of knowledge, and has been acknowledged by authors such as Adjaye (2005), Laszlo et al (2005), and Kunmin et al (2008). This presents policy

makers, including those in local authorities, with challenges on how to translate sustainable development aims and objectives into actionable plans and strategies. These difficulties present the danger that local actions that can play a part in achieving sustainable development might be neglected (IIED, 2002 and Mega, 1996).

The aims of this study are two-fold, namely to identify ways of translating sustainability and sustainable development aims and objectives into practical means in a local government setting within the United Kingdom (UK), thereby contributing to knowledge in this area of paucity of research. Secondly, the study aims to seek change in a professional environment – a local government setting – in the area of sustainable urban regeneration. In order to achieve the stated aims, a set of **supporting objectives are identified as follow**:

- The study will use action research methodology to accomplish its aims.
- The study will propose three levels of abstraction in the forms of globalisation theory, sustainability theory, and applied sustainable development. These levels of abstraction will be conceptualised as grand theory, meso theory and substantive theory; and the linkage between them will be established, in order to contribute to and provide an insight into the sustainability debate and processes at global, national (UK) and local (Havering) levels.
- The study will explore the mechanism used for integrating sustainable development principles into the *HCS* development process. Furthermore, the key issues that underpin the *HCS* and how they are developed will be investigated. Following from latter, there will be an attempt to examine whether the indicators used in the *HCS* are

able to contribute to the global sustainable development debate. The latter exercise will be accomplished through the study object below.

- The study will use the London Borough of Havering as a case study to demonstrate how sustainability and sustainable development are applied in a real life situation. This will be done through evaluating the case study organisation's community strategy, called *Havering Community Strategy (HCS)* using multi-criteria analysis (the *Havering Community Strategy* is chosen for the purpose described above because it is the London Borough of Havering's overarching strategy in which all other plans and strategies nest). The result of this exercise will compliment the substantive theory developed and will be reported to the policy makers in Havering as part of an action research study. The multi-criteria analysis is justified on the ground that the London Borough of Havering, along with other local authorities in England and Wales are statutorily required under the *Local Government Act (LGA) 2000* to develop plans and strategies (and also to evaluate their existing plans and strategies) for the incorporation of sustainable development aims and objectives. The guidance and directives from the United Nations (UN), the European Community (EU) and the United Kingdom (UK), (including the *LGA, 2000*) have helped in determining the criteria against which the *Havering Community Strategy* is measured on sustainable development issues using multi-criteria analysis described.

The local government sustainable urban regeneration has been chosen to demonstrate how sustainability aims and principles can be put into practice in a real life situation for the following reasons: According to Roberts et al (2000: 17), local government urban

regeneration brings about a “comprehensive and integrated vision and action which leads to the resolution of urban problems and which seeks to bring about a lasting improvement in the economic, physical, social and environmental condition of an area that has been subject to change.” The latter are the aims and objectives of sustainable development theory; the achievement of which depends on the integration of well-defined sustainability criteria into all programmes and activities concerning environment and development. Local authorities urban regeneration, therefore, have a key role to play in this regard, because of their wide-ranging responsibilities and functions in relation to the environment, planning, development, housing and provision of other physical and personal services. The Department of the Environment and Local Government (1995: 4) stated that “activities which are largely controlled at local level, for example in regard to land use, waste disposal and water services, have a major impact on the environment. The planning of these activities and services, and their subsequent administration, therefore, has a critical role in securing balanced environmental protection and socio-economic development. This balance, respecting the capacity of the environment to sustain human activity now and into the future, and meeting public social, economic and cultural aspirations, is an essential basis for sustainable development.”

The gap in literature identified represents one of the problem areas this study aims to address. The other problem area identified is the perceived incongruence between sustainability and regeneration. This lack of fit is discussed in the next section alongside a series of study questions that will be explored.

1.2 Problem Statement and Research Questions

In the previous section, the gap in literature was identified as the lack of studies on how to translate the sustainable development theory into practical measures (see Adjaye, 2005; Laszlo et al, 2005; and Kunmin et al, 2008); and also, the neglect of the role that local actions can play in achieving sustainable development (see - IIED, 2002; and Mega, 1996). It is anticipated that an exploration of the following overriding question will assist in accomplishing the tasks set out in this study: were the aims and objectives of the sustainable development principle met in the development of the *HCS*? This is explored through the following questions, which are also the study's objectives:

1. What are the key issues that underpin the *HCS*, and how are they developed?

The above question, if explored alongside other raw data collected for the study may highlight the key sustainable development issues in the *HCS* (a local government setting), and the approach adopted in developing the key issues identified. This is vital in order to highlight the significance of local activities in contributing to sustainable development; and most crucially the importance of engaging stakeholders¹ (including the community) in the development of a sustainable development policy document. This would be congruent with

¹ A stakeholder in general terms is someone who has an interest or concern in an organisation or its work; and may include, but not limited to the following: a donor, employee, board members, clients, volunteers, and the public. A stakeholder, however, differs from a shareholder, even though the two share certain similarities. The latter emphasizes profitability over responsibility and sees organisations primarily as instruments of its owners. A stakeholder on the other hand emphasizes responsibility over profitability and sees organisations primarily as coalition to serve all parties involved. A stakeholder believes in social responsibility and claim that society is best served by pursuing joint-interest and economic symbiosis (Internet 5, undated). In the context of the Havering Community Strategy, stakeholders refer to those in the borough of Havering with interest in the strategy document. These are the residents of Havering, community and voluntary groups, the business sector, other public sector bodies and the London Borough of Havering.

action research methodology and participatory inquiry worldviews, the means chosen to answer this question. Action research methodology and participatory inquiry worldviews both allow for participation of others so that shared interpretations are developed. The participation of individuals and groups and the raising of their awareness to the sustainable development agenda are felt to be a “prerequisites for the success of policies and measures aimed at improving the quality of the urban and its surrounding environments” (OECD, 1997: 158).

An attempt to answer the above question will highlight the issues involved in the development of a real life sustainable development policy document from the local level to contribute to the global quest for sustainable development. The gap in literature on sustainable development has identified the lack of emphasis placed on the impact that local actions can play in achieving sustainable development. This question attempts to fill this gap.

- 2a. Are the sustainable development indicators used in the *HCS* able to contribute to the global sustainable development debate?
- 2b. Are these sustainable development indicators able to achieve sustainable urban regeneration in Havering?

The above questions will highlight the issues and assess whether sustainable development issues identified and developed for a specific local situation do conform and meet the requirements of the global sustainable development criteria. Confirmation of the level of fit reinforces the need to place greater emphasis on the role local action (through stakeholder

involvement) can play in achieving global sustainable development. The answers to the questions will identify where the shortfalls lie in the local efforts at developing a sustainable development policy document. The outcomes of the study will help to support changes in professional practice with respect to sustainable development and sustainable urban regeneration at local authority level.

3. What is the mechanism used for integrating sustainable development principles into the *HCS* development process?

The latter question is designed to assess whether the process of developing the *HCS* meets the requirements of the sustainable development principles as identified in the literature review and the intended theoretical framework to be developed. The question also seeks to identify where the shortfalls lie in the local efforts to craft sustainable developing policy documentation. Any sustainable development shortcomings identified could serve as important lessons for policy makers in the London Borough of Havering and those acting further afield.

Blowers (1994: xi) wrote that “sustainable development is not something to be achieved on the margins, as an add-on to current policies, but requires a fundamental and revolutionary change in the way economies and societies are developed and managed. Sustainable development is an integrating theory bringing together local and global, short and long term and environment and development.” Is the above contention by Blower achievable in

Haverling? This study will seek to establish whether sustainable development principles fully permeated the *HCS* or partially, in an *ad-on* way.

One of the main problems, albeit not specific to Haverling, is the belief that a conflict exists between sustainability and regeneration (Hunter and Green, 1995). Many still see the pursuit of a sustainable solution as a barrier to economic development and prosperity. Indeed, the increasing involvement of the private sector in the local authorities' regeneration agenda through partnership work in economic development is further complicating matters. Robert et al (2000), contend that private sector organisations are more interested in securing immediate profit, as opposed to engaging in the longer-term goal of realising global sustainability. This was because, environmental concern was against the short term economic benefits of these organisations and corporations, which often seek to increase their profits with little, if any, regard to the environment (Coccossis and Nijkamp, 1995). This is perhaps borne out of the perception that the quest for sustainable development in regeneration may incur additional costs, in terms of personnel and financial resources; hence the reluctance for some organisations to engage in any meaningful sustainable development practice. This presents a problem for local authorities, which are required by the government to look beyond physical and economic regeneration as vehicles for satisfying both the needs of their communities (social sustainability) as well as the quest for global environmental sustainability. The consequence of this neglect may prove disastrous for local communities. A prime example was the case of Peckham, an area within the London Borough of Southwark, where massive physical regeneration took place. However, there was a terrible neglect of the social dimension of regeneration. This contributed in no small way to the social decline and the

soaring crime rate in the area, as local residents were not able to enjoy or participate in the benefits associated with the physical regeneration of the area. A series of homicides in recent years in the area highlighted this problem even more acutely. This was attributed by the media to the social decline in the area; and demonstrates the need for a holistic approach to community planning and regeneration where the importance of social dimension of regeneration is recognised. A consideration of the social dimension can capacitate and builds the capacity of local residents to enjoy, engage and participate in the benefits associated with economic development and regeneration.

Increasingly, economic development strategies within local government do now acknowledge environmental objectives and constraints. However, they tend to focus on the physical environment rather than the wider 'holistic' issues of social deprivation, economic turmoil and environmental degradation. "This is reflective of the guidance to which partnerships must conform when bidding for and implementing regeneration programmes such as the *Single Regeneration Budget*, *City Challenge* or *European Structural Funds*, which all focus on economic outputs. Where environmental outputs are required, these consist of hard physical improvements, such as the amount of land reclaimed, number of trees planted etc." (Robert et al, 2000: 104-105).

Achieving sustainable development in regeneration activities in Havering and other urban areas will require that a more holistic approach be sought in planning priorities where a balance between economic, environmental and social development is sought. Regeneration of Havering through the community strategy requires sustainable development issues to be

addressed in an integrated way. The process cannot be an add-on, *ad hoc* endeavour; but rather a process that permeates the community planning process to bring about change relevant, not only to Havering; but the wider global agenda on sustainable development.

1.3 Research Context

The study's location is the Regeneration and Strategic Planning Unit of the London Borough of Havering. The Council is organised into five Directorates, each led by an Executive Director. Regeneration and Strategic Planning as a unit within one of the five directorates (Housing and Regeneration) is charged with leading and co-ordinating all the regeneration activities in Havering. The unit's roles are divided into three major areas as follow:

Regeneration Services – that is, taking forward the regeneration of London Riverside, advancing the regeneration of Romford Town Centre, promoting Havering's regeneration agenda within London and the Thames Gateway, encouraging businesses and strengthening the economy, and improving social and economic opportunities for the community. It is also responsible for co-ordinating and assisting Area Based Initiatives in priority locations, delivering or supporting key environmental projects, providing information and research to quantify key issues and priorities, managing the Council's External Funding Service and attracting further funding to Havering (LBH, 2003).

Strategic Property Services – that is, corporate strategy for the Council's property assets, disposals and acquisitions, planned maintenance programme, administrative accommodation

review, strategic property advice to Members (elected Councillors) and senior managers, management of all commercial and non-commercial lettings (LBH, 2003).

Community Safety – leading the Community Safety Strategy and related strategies and action plans, developing community safety projects and securing funding, co-ordinating the Havering Community Safety Partnership (HCSP), developing information systems to monitor crime and disorder, and promoting community safety within the Council and the community (LBH, 2003).

The Regeneration and Partnership unit is staffed by 34 permanent full-time personnel, in addition to five staff on fixed-term contracts. The unit is also responsible for co-ordinating the preparation of the community strategy in Havering. The evaluation undertaken in this study primarily covers a period of three years (2000 to 2003); however, the evaluation was extended to cover the period between 2005 and 2007 when the strategy document was being reviewed. This became necessary in order to make this study relevant and more contemporary.

The idea behind the *Havering community strategy* was conceived in 1998; but minimal work was carried out on scoping the strategy before 2000. The year 2000 marked the beginning of the development of the strategy, which was subsequently finalised in 2003. It was also in 2000 that it became a statutory requirement through the *LGA, 2000* that all local authorities in England and Wales produce a community strategy in partnership with their various stakeholders. The review of the strategy document started in 2005 and was completed in

2007. A further review began in 2008, with contribution from the preliminary findings of this study.

The author had an important role in the development of the *Havering Community Strategy*, as the Council's Regeneration Officer (Strategy), from 2000 to 2003. Primary responsibilities involved co-ordinating the work of the partnership developing the strategy document. I have subsequently changed role as a project manager within the same organisation. I have however maintained an interest in the ongoing revision of the *HCS*. Equally, my new role requires the application of sustainable development aims and objectives in the delivery of projects. This requirement further makes this study very relevant, in that knowledge gained from this study will be very valuable in the new role.

1.4 Theories and Issues

This study is underpinned by three main theories, namely: sustainability, sustainable development and globalisation. However, before over-viewing these theories, an attempt is being made to engage in a discussion of what constitutes a theory, compared to, for example, a concept. This is in order to provide justification for classifying sustainability and sustainable development as theories in this study.

The term theory derives from the Greek *theoréo*, meaning to look at, to observe; and is a structured set of ideas for thinking about the world. This contrasts to the word concept which represents a general mental idea or thought (Peet, 1998; Gould, 1984; and Holloway et al,

2003). Two broad sets of meanings are associated with the term theory; one is used in the empirical sciences (both natural and social) and the other is used in philosophy, mathematics, logic, and across other fields in the humanities. There is, however, no consensus in academia as to the proper usages of the term (Wikipedia, 2010).

A theory, therefore, “generates pluralism, produces choice, creates alternatives, formulates debate and communication, increases awareness, minimises dogmatism and develops understanding” (Internet 1, undated). Corbin and Strauss (1990:15) describe a theory as incorporating a “set of well developed concepts related through statements of relationship, which together constitute an integrated framework that can be used to explain or predict phenomena.” A theory in this sense, is an explanation of a phenomenon or set of phenomena (Kerlinger, 1986). As an example, in evolution theory, an attempt will be made to explain a series of observations with one explanation. The term concept on the other hand, is a generalised idea of a thing or class of things; it is simply an abstract notion or idea. A concept, in other words, is something that is not concrete; space, time or justice are examples of concepts (Theodorson and Theodorson, 1969).

Sustainability and sustainable development as presented in this study are considered concrete rather than abstract notions; and sit well with the definitions of a theory offered overleaf. This is because they constitute a framework for the development of new knowledge and validation of old ones. Sustainability and sustainable development are considered as theories in this study because, they can also guide the socialisation into a discipline, its language, interests, world view and philosophy. Theories can also be used for analysis and the planning

of intervention. Sustainability theory with its well developed concepts as will be shown in this study sits well with these attributes of a theory and can therefore be used to: describe, explain, predict and prescribe (Internet 2, undated). It is, however, acknowledged that some authors may not share the view expressed overleaf, but may instead consider sustainability and sustainable development as concepts. In Chapter Four, an attempt is made to overview the different levels of theory to further provide justification for their use in this study.

In the meantime, sustainable development grew out of the sustainability debate which started in the late 1960s and early 1970s, through the 'Club of Rome' in their publication '*Limits to Growth*.' However, it was not until the publication of the *Brundtland Report*, in 1987 that the theory of sustainable development gained international prominence. Sustainable development as a theory presented in this study is addressed in the context of the *Brundtland Report* and globalisation theory. Global issues of Sustainable Development are extensively covered in Chapters Two and Four, as globalisation theory is central to the debate on sustainable development. The 1987 *Brundtland Report* framed the sustainable development theory within an international global political debate. The link between the sustainable development debate and globalisation was also strongly emphasised at the 1997 *United Nations General Assembly Special Session* on Sustainable Development, called *Earth Summit+5*. The debate emphasised the opportunities and threats inherent in this linkage, and therefore advocated greater effort at addressing the impacts of globalisation on sustainable development, particularly at the local level. The *Rio Summit* of 1992, *inter alia* led to the development of *Local Agenda 21*. This advocated a local level approach to tackling the issues of sustainable development as a means of contributing to achieving sustainable development globally.

This linkage is further expressed by Shiva (2000), when he stated that making sense of the impacts of globalisation requires looking beneath the popular conception of the trend that started in business but has extended its effects to be felt in all aspects of living. In his opinion, this, in turn, means going beyond the normal boundaries of what is accepted as sociology, to examine factors in other related disciplines such as politics, economics and even geography. Are the inequalities created by such exponential growth in economic activity merely 'blips on the chart' or are they more fundamental to the process, deepening and broadening the gap between the 'haves' and the 'have nots'?

Globalisation theory underlies two main trends that are increasing; namely that of worldwide active communication systems; and fluent economic conditions (especially high mobility of financial resources and trade). In other words, in today's world, no nation is untouched by the forces of globalisation. This has been brought about principally as a result of technological advances in various fields, not least in the area of communications (Shuja, 2001). Globalisation as a result, has contributed to the expansion of the world economy, caused major shifts in the composition and location of production and consumption activities, which has reduced the ability of national and local governments to act unilaterally.

These conditions thus pose a challenge to national governments as well as to local governments such as the London Borough of Havering, as they both operate in a global environment. The sustainable development debate recognises this challenge; hence the reason for the various summits at the international level organised to counter the threat of globalisation by advocating patterns of development and advancement that are sustainable.

The starting point, as espoused at the 1992 Rio Summit, is in the local areas. The *Local Agenda 21* was seen as the approach to achieving sustainable development at the local level so that its contribution to the global sustainability agenda could be achieved.

In order for local authorities like the London Borough of Havering to contribute to the global quest for sustainable development, they must address the following issues (particularly when engaging in policy development formulation, and urban regeneration development):

1. How was the progress towards achieving sustainable urban regeneration in Havering measured? Which indicators were used most effectively for this purpose?
2. What was the framework used for integrating sustainable development principles into the *Havering Community Strategy* development process?
3. In what ways have the messages of sustainable regeneration been communicated to councillors, council staff and developers?

These are also the issues addressed in this study in order to assess whether the theory of sustainable development debate permeated the development of the *Havering Community Strategy*. The policies contained within this overarching strategy have helped to frame the research questions to be answered.

1.5 Justification for the Research

There is now a requirement enshrined in the *LGA, Act 2000* that every local authority in England and Wales (of which London Borough of Havering is a member) should exercise leadership roles in their communities by ensuring the social, economic and environmental well-being of their communities. This is to be achieved through developing community strategies with their residents, so as to address the requirements of the sustainable development agenda. However, the literature suggest that there has been less research done over the years on how to translate sustainable development into practical plans on the ground at local level. It is as a result of this neglect that this study becomes important and relevant.

The question can equally be asked, why is this study being conducted in a local government urban regeneration setting? The answer lies in the fact that local government urban regeneration is arguably one of the settings where sustainable development can be better co-ordinated, hence the reason why the decision was made by the Council Cabinet in Havering in 2000 for the Regeneration and Strategic Planning Unit to lead on the development of a community strategy for Havering.

Urban regeneration encompasses all forms of social, economic and environmental development, therefore, its significance cannot be over-emphasised; as it is arguably one of the only avenues of ensuring the social, economic and environmental well-being of most economies either globally, nationally, regionally or locally (UK included). Local government urban regeneration represents a significant potential for combining sustainable development

with environmental conservation. Local government urban regeneration offers the potential to achieve sustainable economic and social development through seeking a balance between development and the preservation of environmental quality. It on this basis that this study is significant, as it offers the opportunity to contribute further research into the area of local application of sustainable development.

1.6 Methodology

Action research has been chosen as an appropriate methodology for this study. This is consistent with an intervention-based approach where the focus of investigation is directed towards action to improve a situation. As part of the process, research becomes a conscious effort to formulate public knowledge that adds to theories of action that promote sustainable development (Allen, 2001); Chapter Three deals with the methodological issues addressed in this study in greater detail.

One of the principal aims of this study is to seek change in a professional environment in the area of sustainable development. Action research provides the opportunity to achieve this aim. Action research can be described as a family of research methodologies which pursue action (or change) and research (or understanding) simultaneously. In most of its forms it does this by:

- using a cyclic or spiral process which alternates between action and critical reflection;
- and,

- in the later cycles, continuously refining methods, data and interpretation in the light of the understanding developed in the earlier cycles.

It is thus, an emergent process which takes shape as understanding increases. It is an iterative process which converges towards a better understanding of what happens. In most of its forms, it is also participative (among other reasons, change is usually easier to achieve when those affected by the change are involved) and qualitative (Dick, 1999).

The dual processes of action and research aim to bring about genuinely desired change in a community, organisation or a programme, as well as to increase understanding on the part of the researcher and/or the problem owner.

Zuber-Skerrit (1995) developed a form of action research where the core of the action research process is based upon a spiral of cycles of action and research, consisting of four phases. These spirals of cycles are planning, action, observation and reflection. In the planning phase, analysis of a complex situation and strategic action plan are developed. The action phase consists of implementing the plan - the practical testing phase; whilst the observation phase involves monitoring the action taken. The reflecting part of action research is where the process of reflectively evaluating the results over the whole action research process takes place. The latter stage is perhaps the most critical part in the process, as it allows for continual refinements. In this process, there is a continuous improvement of practice, and extension of both personal and field knowledge. It is this model that builds the basis of the overall model depicted in further sections (Martin and King, 2002).

Coughlan and Brannick (2001) suggest a similar but slightly different action research cycle to the Zuber-Skerritt's approach above. They widen the scope of the cycle by including a pre-step, context/purpose and four other basic steps of diagnosing, planning action, taking action, and evaluating action. At the pre-step stage, an understanding of the context of the project begins. Here the question of why the study or the project is necessary or desirable is asked. Once this has been established, the four step action research cycle begins, as described in Zuber-Skerritt (1995), above.

In this study, the study will use an adapted form of Coughlan and Brannick (2001) version of cyclical action research. My action research methodology will begin with the pre-step stage, where the context and purpose of the study will be established. This will be followed by a four-step spiral of cycles, with the chapters of the thesis aligning to the different steps in the cycle. Equally, within each stage (that is, each chapter) in a cycle there is a further spiral of four steps. The important characteristic of each cycle is that I plan before acting, and reflect on the findings and the method after acting. The reflection at the end of each cycle then subsequently feeds into the planning for the next cycle (Dick, 1997).

This process establishes the rigour of the study. As Coughlan and Brannick (2001: 23) stated, "rigour in action research refers to how data are generated, gathered, explored and evaluated, how events are questioned and interpreted through multiple action research cycles." These spirals of cycles are fully explained in Chapter Three covering the methodological approach adopted.

1.7 Structure of the Study

The study has started with an introduction, where the aims and objectives of the work are clearly stated. This was steeped in the critical and theoretical analysis of the theory of sustainable development and globalisation theory. The problem statement and precise study's questions were also identified, along with an outline of how the study is structured.

The second chapter will build a theoretical foundation upon which the study is based. A critical exposition of the relevant literature on sustainability, sustainable development, and globalisation theory will be provided and subsequently used as the basis to identify research issues for investigation. The literature review will provide the insights and understandings of the research issues under investigation, as well as identify the gap in literature which the study attempts to fill.

Chapter Three will address the methodological framework for the study. The research approach and the process and procedures of the investigation will be articulated. Definitions of the study's research paradigm alongside a review of empirically based literature on the methodology of action research, ethnography and case study methodologies will be provided.

Chapter Four provides a theoretical overview of the levels of theory proposed, namely, globalisation, sustainability and applied local sustainable development – the latter will be developed in Chapter Five using the results of the analysis. These are conceptualised as, grand theory, meso theory, and substantive theory. The linkages between these three levels of

abstraction will be sought to be established, as a means of contributing insight to the sustainability debate.

Chapter Five will present patterns of results of the data collected for the study. As mentioned overleaf, it is in Chapter Five that the substantive theory promised will be developed following the result of the analysis carried out. The latter exercise constitutes the study's theoretical contribution. A practical contribution will also be provided in which a theoretical framework will be proposed in the form of a generic model for supporting sustainable policy formation at the local government level. This will then be used to carry out a multi-criteria analysis of the *HCS* and the policies contained within it. The result of the latter exercise which will support the substantive theory developed will be presented as an appendix (Appendix A), and will represent the outcome of an action research study presented to the policy makers in Havering. This should be of practical value to local authorities, such as the London Borough of Havering because it provides the framework for the evaluation of the process involved in the development of a *HCS* and the policies contained within it.

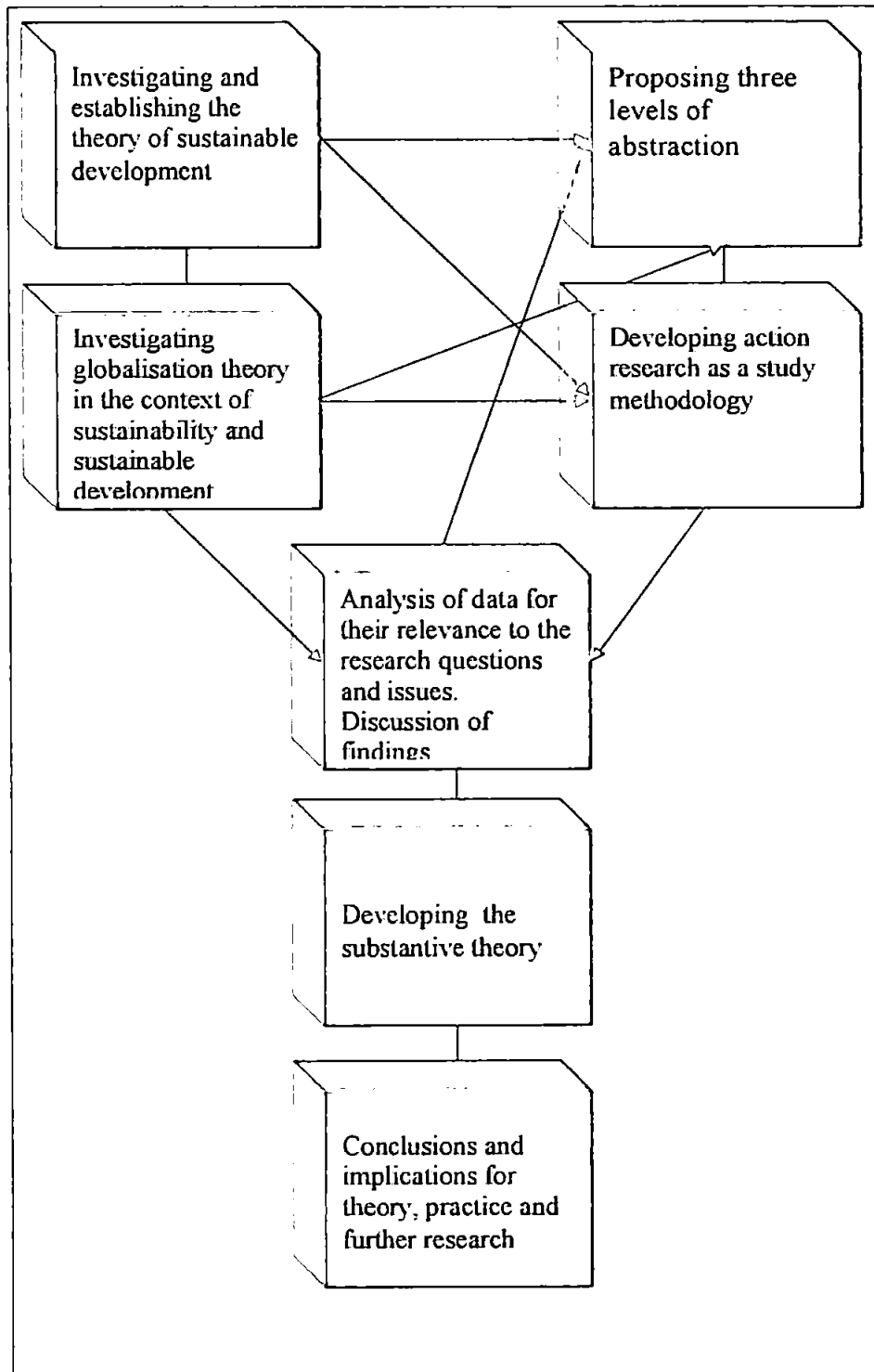
In Chapter Five, the results of the analysis will also be analysed to establish their relevance to the research questions and issues identified. The results of the analysis will then be presented to highlight whether the study's findings do confirm expectations from the extant literature.

The study ends with Chapter Six which will attempt to draw conclusions on the study's findings and recommend on a number of courses of action. The study limitations will be highlighted before the chapter concludes with implication for further research.

1.8 Conclusion

This chapter has laid the foundation for the study by introducing the theoretical framework underpinning the study, the research problem and issues. A justification was made for the study's *raison d'être*, and an attempt was made to describe and justify the use of action research as the proposed methodology. The chapter also attempted to present and outline the study structure (a diagrammatic representation of the research process undertaken for this study is given in Figure 1 below). This study will attempt to demonstrate the practical application of sustainability principles at the local level of policy formulation, using the London Borough of Havering as a case study. On these foundations, the study can proceed to the following two chapters to provide further explication of the ideas introduced in the chapter by explaining the underlying theories as applied to the extant literature. The notions in the review of the literature are then used to generate empirical material to formulate and prepare the emerged factual evidence.

Figure: 1 Flow Diagram Illustrating Study Structure



CHAPTER 2:REVIEW OF LITERATURE

2.1: Introduction

Chapter One briefly introduced the theories underpinning this study. It also introduced the research problem the study attempts to address, based on the lack of adequate research on how to translate sustainability and sustainable development principles into practical means, particularly at the local level of government. A claim was also made in the previous chapter that a great deal of literature exists on the definition and the meaning of the theory of sustainable development. This chapter of the study is designed to confirm this claim and also to review the relevant literature on the theories that underpin the study, so as to foreground the theoretical framework for the study. It also sets the framework for Chapter Four of the study which will attempt to develop three levels of theory conceptualised as grand theory (globalisation), meso theory (sustainability), and substantive theory (applied local sustainable development). In Chapter Four, globalisation will be presented as a grand theory, whilst sustainability, although it will be presented as a meso theory, will also address its impact on and relationship with globalisation. The substantive theory in this study will represent the applied sustainable development at the local level of policy formulation, using the London Borough of Havering as a case study, but drawing heavily on the global, EU and UK national perspectives. An evaluation of the *HCS* will be carried out using multi-criteria analysis to assess the level of sustainability incorporated into the borough's policy document. This analysis will be presented in Chapter Six where the study's implication for practice will be outlined. The results of this exercise will be revisited to complete one of the research

questions in Chapter Five. Although this is an action research study, in which the guiding research philosophy is participatory inquiry paradigm, the multi-criteria analysis described overleaf, however, did not fit the philosophical and methodological framework for the study. It should be recognised that no study can be purely inductive and as a consequence some triangulation of research approaches may be apparent. There must be elements of deduction, given the measurement of achievement against the UN, EU Directives and the UK *LGA, Act 2000* and pre-determined sustainable development criteria which the local councils are measured on sustainable development issues.

In accomplishing the aims and objectives of the study, there is a need to review several relevant sources of literature in order to position this research within the established body of subjects' knowledge. Foremost, there are references on the definition and the history of sustainability, and the environmental movements that started the debate on sustainability. This is followed by references on the evolution of sustainable development as a theory, before the different definitions of the theory of sustainable development are addressed. This is followed by the analysis of the issues involved in integrating sustainable development principles into plans. A further source of relevant literature is that of globalisation theory. This is reviewed from the perspectives of pros and cons and in the context of the sustainability debate as addressed globally. The last source of literature reviewed is on globalisation theory; this consists of its many definitions, its meaning and its relevance in the context of the developed world (particularly, the UK).

2.2 Sustainability and the History of Environmentalism: A Precursor to the Sustainable Development Debate

2.2.1 Defining Sustainability

An understanding of the term sustainable development is difficult without first grasping what sustainability is. Although some authors such as Parr (1999), George and Kirkpatrick (2007), Blewitt (2006), Nemetz (2007) and IUCN/UNEP/WWF (1991) have used sustainability and sustainable development interchangeably, authors such as Harding (1998), however, contends that the theories of sustainability and sustainable development have different meanings. The former, according to Harding, is a goal or an objective, whilst the latter represents a framework or path to achieving the goal of sustainability (Ibid, 1998). Agreeing with the dichotomy that exists between the two terms of sustainability and sustainable development, as seen by Harding above, requires that prior analysis and discussion on sustainability takes place before a good grasp of what sustainable development is can be developed. This is due to the former being a precursor to the debate on sustainable development.

What therefore is sustainability? Sustainability is a noun which refers to a state or condition that can be maintained over an indefinite period of time (Collins's 2001; Webster's, 1996). The theory of sustainability can be applied to all fields of activity, from agriculture to house building. As a consequence, various definitions of the theory abound to describe various contexts in which it is used. However, in its environmental and human usage, sustainability

refers to the potential longevity of vital human ecological support systems such as the planet's climatic system, systems of agriculture, industry, forestry and fisheries, and human communities in general, and the various systems on which they depend (Baker, 2008). Sustainability in this sense is concerned with the preservation of natural ecosystems and reserves and the making of human economic systems last longer so as to have less impact on ecological systems. It is particularly related to concern over major global problems such as climate change and the depletion of fossil fuel (Diesendorf, 2000). According to Pearce et al (1993), sustainability as a theory means ensuring that substitute resources are made available as non-renewable resources become physically scarce. Sustainability is also about making sure that the environmental impacts of using those resources are kept within the Earth's carrying capacity to assimilate those impacts. The IUCN/UNEP/WWF (1991), provided a simpler definition of sustainability in its environmental usage, as improving the quality of human life while living within the carrying capacity of supporting eco-systems.

The notion of sustainability began the debate about sustainable development as a theory, however, the conceptual underpinnings for the current use of the term sustainability as it applies to human activities grew out of the Club of Rome's² commissioned publication '*Limits to Growth*' during 1970s (Meadows, 1972; Harding 1998; Wheeler and Beatley, 2009). The '*Limits to Growth*' challenges the traditional assumption that the natural environment provided an unlimited resources base for population and economic growth

² Club of Rome: The Club of Rome is a global think tank that deals with a variety of international political issues. It was founded in April 1968 by Aurelio Peccei, an Italian industrialist and Alexander King, a Scottish scientist. They formed the club with a small international group of people from the fields of academia, civil society, diplomacy, and industry, when they met at a villa in Rome, Italy. This reflects the group's name – Club of Rome. In 1972, the group commissioned a publication called *Limits to Growth* which raised considerable public attention (Club of Rome, 2009).

where the planet could assimilate ever growing quantities of the waste and pollution products of industrial society. The publication claimed that economic expansion must soon come to an end, due to environmental limits. It stresses the importance of planning and dealing with poverty and inequality in a no-growth world economy (Meadow et al, 1972). Zoeteman (2002), whilst agreeing that sustainability developed from the environmental crisis, however, argued that the environmental crisis was first alluded to in Rachel Carson's *Silent Spring* (1962). According to Zoeteman, the latter was a journalist's report focusing on the disastrous ecological effects of accumulation of widely used pesticides at locations far away from their initial place of use. Generally, however, the literature suggests '*Limits to Growth*' as starting the debate on sustainability.

The *Limits to Growth* predicted that within 100 years there would probably be: "a rather sudden and uncontrollable decline in both population and industrial capacity" (Meadows et al, 1972: 7). This concern about the state of the environment as described by the Club of Rome was characterised by apocalyptic predictions that could only be averted if drastic lifestyle changes were made (Owen, 1991). Thirty years on, the same authors of the *Limits to Growth* in their new publication titled *Beyond the Limit* were still sounding warning on the state of the planet in terms of the environmental consequences looming if certain drastic changes are not put in place. For instance, one of the conclusions in the new publication states that human use of many essential resources and generation of many kinds of pollutants have already surpassed rates that are physically sustainable, and without drastic reductions in material and energy flows there will be an uncontrolled decline in per capita food output, energy use, and industrial production over the coming decades (Meadow et al, 1992).

These predictions followed earlier publication by Jay Forrester in the late 1960s, in his seminal book entitled *World Dynamics* (1968) where he developed a model system dynamic to map the important interrelationships between the stock of world population, industrial production, pollution, resources and food. This simulation model showed the anticipated collapse of the world socioeconomic system sometime during the 21st century if steps were not taken to lessen the demands on the earth's carrying capacity (Forrester, 1968). Lovelock (1965), had earlier started this debate through his *Gaia theory*³, of the looming catastrophe on the planet as a result of humans incessant consumption of earth's finite resources and disregard for the planet. James Lovelock, in the 1960s proposed the *Gaia theory* to highlight the issue of climate change to the world. Gaia theory, proposes that the damage done to the planet's ecosystem and the resultant sustainability crisis has its origins in human failure to appreciate the systemic nature of the planet's ecosystems, and humanity's participation in natural processes (Reason, 2002).

Sustainability in terms of the environment, however, has a longer history and there is consensus in the literature that sustainability as a theory grew from numerous environmental movements in earlier decades. Although the term sustainability in ecological and human terms as it is presently known and used surfaced in late 1960s and early 1970s; its evolution, however, dates back several centuries (Welford, 1995). As Grove (2002), pointed out, global environmental concerns due to human induced ecological changes on a global scale is more than three hundred years old. Adam (1990), expands this further that the history and

³ According to Lovelock, "Gaia is an evolving system, made up from all living things and their surface environment, the oceans, the atmosphere and crustal rocks, the two parts tightly coupled and indivisible" (Lovelock, 1965: 4).

intellectual roots of sustainability is closely linked to the history of environmental concerns and peoples' attitudes to nature, and dates back more than 100 years.

For Atchia (2002), however, the history of environmental thinking is much older than that suggested by Adam and Grove. According to him, it dates back to the early civilization in Greece, India, China and Mesopotamia; this later spread to the Aztecs and Incas, amongst many others. Environmentalism started as a movement to protect the quality and continuity of life through conservation of natural resources, prevention of pollution, and control of land use (Smith, 2001; Grove, 2002). It is a reaction to the effect of human action on the planet, which has been further exacerbated by an exponential human population growth and by a changing individual human life-style, which makes increasing demands on the earth for energy, material and space, as well as producing increasing quantities of toxic, non-biodegradable waste (Atchia, 2002).

The concerns for environmental degradation in these periods were justified on many grounds. Some of these were related to the disappearance of civilizations in Mesopotamia and the Indus valley due to climate change and the over-exploitation of water resources (Ibid, 2002). There was also the resulting consequence of agricultural revolution (Haenn, 2002). Grove (2002) demonstrated the latter by using the example of the consequence of the capital and labour intensive activities of the colonial settlers in the Caribbean and Asia in 1670s. He contends that these colonies experienced drought due to the drying up of perennial streams, soil erosion, dust storms, and the disappearance of animal and plant species as a result of over farming.

The periods above represent the first wave of environmental concerns. The second wave of environmental concerns occurred during the industrial revolution of the 18th and the 19th centuries, which culminated in a century of war and technology, which both had a profound impact on the planet and the eco-system. The resulting industrial pollution and human consumption pattern and wasteful use of earth's finite resources have left marked damage on the earth's protective outer space shield - the ozone layer (Hall, 2006; Pepper et al, 1990; Kovarik, 2006). This and the concern for the dwindling earth's scarce resources have prompted an organised environmentalism which began in the United States with the conservation movement in the late 19th century. This movement urged the establishment of state and national parks and forests, wildlife refuges, and national monuments intended to preserve noteworthy natural features (Anzali, 2007).

Barton (2002), cited the period of British imperial empire of the late 19th century to described environmentalism of the industrial revolution. He contends that it was around this period that most sweeping environmental initiatives emerged under the British imperialism. In the British colonies, vast areas of land were protected (Ibid), but what Barton failed to state is that it was also under the colonial rule of the British that the deforestation and environmental degradation occurred in the colonies. This was due to the mechanized farming of the period, conducted on an industrial scale to cater for overseas exports. Resources in these colonies were plundered, intensive cash-crop activities took place, and vast land of wooded areas was destroyed, with the resulting consequence of deforestation (Grove, 2002).

In Britain, however, a number of conservation organisations like the Commons Open Spaces and Footpath Preservation Society started in 1865. Equally, the Royal Society for the Protection of Birds began in 1893 (Adam, 1990). It was also around this period that the Parliament passed a piece of legislation to protect seabirds. In other countries such as the USA, Canada, New Zealand and Australia, similar organisations on nature conservation were formed. Boardman (1981), noted that International Ornithological Congress was held in Vienna in 1884 and Budapest in 1895. These meetings later led to a signed treaty in 1902 to protect bird species. A wide range of initiatives have begun since the beginning of these movements; for instance, the formation in Britain of the Society for the Promotion of Nature Reserves in 1912 (Adams, 1990). These approaches to environmental concern, according to Adams (1990), were very theoretical rather than applied.

Modern form of environmentalism, on the other hand started in the 1960s (Welford, 1995; Lester, 1998; Warshall, 2001). A host of factors combined to create a sense of concern about damage to the biosphere. The period marked the beginning of the use of the term sustainability, as evidenced in the following publication *Limit To Growth* as previously stated (Meadow, 1972). Perhaps the most stirring image from that decade is that of Earth from space. The Earth appeared as vulnerable and finite. As popular concern for the state of the environment grew, governments began to take an interest in environmental issues (Welford, 1995). At the 1972 *Stockholm Conference on the Human Environment*, governments and peoples were called upon to exert common efforts for the preservation and improvement of the human environment for the benefit of all the people and for their posterity (UNEP, 1972).

In response, many governments created 'environmental' departments, and environmental legislation was enacted.

As previously stated, concern about the state of the environment in the late 1960s and early 1970s were characterised by apocalyptic predictions that could only be averted if drastic lifestyle changes were made (see - Forrester, 1968; Lovelock 1968; and Meadow, 1972). The emergence, therefore, of environmentalism in the 1960s and 1970s in Europe and America started the theory of sustainability - although, the doom-laden forecasts of the 1960s and 1970s were generally considered to be fundamentally flawed in their calculations according to Nordhaus (1973). Nevertheless, concerns still remained about the increase of material prosperity at the expense of the natural environment, and this led to the concept of the zero-growth economy. The question is whether this concept is realistic; and it also appears to be elitist, in that if environmental quality and growth were incompatible, even without a fundamental world-wide distribution of wealth, the poor would remain in a state of poverty. A high quality environment was perceived as a luxury that few could afford. National governments dismissed the notion of zero growth, but began to take environmental issues seriously. For example, in Paris in 1972 Heads of State of the European Community made a declaration that the Community should adopt an environmental policy. Previous to this in 1969, the *National Environment Policy* was passed in the United States. Also in 1972, the *United Nations Conference* on the Human Environment, held in Stockholm, focused on the link between environmental problems and economic development. One of the outcomes was an international agreement on desired behaviour and responsibility from mankind to ensure environmental protection (UNEP, 1972). The concept of zero-growth has therefore been

deemed unrealistic, as discovery and extraction of most non-renewable materials have kept pace with consumption; and, many forms of pollution are subject to stringent controls. In its place is found the more comprehensive theory of 'sustainable development', the exact meaning of which is discussed in the next chapter.

2.2.2 The Evolution of Sustainable Development

The intellectual history of sustainable development, as discussed previously, dates back to the sustainability debate of the late 1960s and early 1970s. Growing concern about environmental degradation through the above periods promoted the publication of the *World Conservation Strategy* in 1980 (IUCN/UNEP/WWF, 1980). Amongst a number of issues were covered and the document called for:

- the depletion of non-renewable resources to be minimised;
- the Earth's carrying capacity to be maintained;
- the quality of life to be improved; and,
- personal attitudes and practices to be changed.

The latter periods (1960s and 1970s) of environmental degradation concerns were preceded by the environmental and conservation movements of the previous decades, particularly the 19th century. The World Commission on Environment and Development Report provides the key statement on sustainable development (WCED, 1987). The Report is commonly referred to as the *Brundtland Report* after its chair. It marked the coming of age of the theory

politically. It widened the scope of global environmental concern to include other areas, such as health, trade and poverty. It also highlights the links between globalisation, planet-wide risks and shared responsibilities that created a need for an action by the international community (Council of Europe, 2003). *The United Nations Conference on Environment and Development* (UNCED), commonly known as the *Rio Conference* of 1992 or *Agenda 21* was the follow up to the first *Brundtland Report*. This *Rio Conference* sought to move forward the aims of the *Brundtland Report*. Chapter three of *Agenda 21* is related specifically to empowering communities. It identifies that sustainable development must be achieved at every level of society and that suitable partnership arrangements should be undertaken (UNCED, 1992: 28). The same Chapter three goes on to identify management related activities that should be undertaken by governments, with the assistance of, and in co-operation with appropriate international, non-governmental and local community organisations, to establish measures that will directly or indirectly empower community organisations and people to enable them to achieve sustainable livelihoods and to adopt integrated policies aiming at sustainability in the management of urban centres (UNCED, 1992: 28).

There have been other international conferences and publications which have represented important epochs in defining and conceptualising sustainable development. Since the *Brundtland Report* was published, the last significant conference on sustainable development was the *Earth Summit of 2002* which brought together over 100 heads of state and 40,000 delegates to try and set up the goals needed to halt poverty around the world, whilst saving the environment at the same time (UN, 2002).

The *Brundtland Report*, however, is the seminal document spelling out the theory of sustainable development. In 1987, The World Commission on Environment and Development publication *Our Common Future* (WCED, 1987) was one of the first to use the phrase 'sustainable development.' The definition of the theory and how it is viewed from various perspectives is critically reviewed below.

2.2.3 The Different Definitions of Sustainable Development and its Intellectual Root

Pezzoli (1996) argues that literature on sustainable development theory has 'burgeoned' since 1987, when the term came of age politically. This assertion appears to be true, as evidenced in the following publications WCED (1987), Adams (1990), Mitlin (1992), Reid (1995), Dobson (1996), Lafferty (1999), Wackernagel and Rees (1996), and Moffat (2001).

It appears from literature that since 1987, three categories of writers on sustainable development theory have emerged. The first category concerns those authors who devoted their research into developing an understanding of the core principles of the theory. This was in the first decade of the theory coming of age politically. This was then followed by authors who began to articulate the theory with reference to specific or specialised subject areas, namely agriculture and economics. Latterly, the emphasis has shifted to developing indicators with which to implement and measure plans, and policies for sustainable development.

The definition of the sustainable development theory itself has generated a significant body of research. Sustainable development appears to have been tagged differently by different authors, to reflect various viewpoints and agendas. As William et al (2004) opined, it is a theory that is very difficult to pin down. Fowke and Prasad (1996) identified eighty competing and often contradicting definitions for sustainable development. To illustrate this claim, the following three definitions have been offered by Redclift (1989: 33), Blowers (1993: 6) and Maclaren (1996: 2). The former defined the theory as encompassing “the ideas in the *World Conservation Strategy*, providing an environmental rationale through which the claims of development to improve the quality of (all) life can be challenged and tested. Blower on the other hand, offered a definition of the theory as involving “the continuing supply of resources for future generations.” Maclaren, meanwhile defined the theory as “a desirable state or set of conditions that persists over time.”

However, the most widely used definition of the theory is that offered by the United Nations World Commission on the Environment (WCED) whose report on the subject entitled ‘*Our Common Future*’ was published in 1987. In the report, sustainable development was defined as “development that meets the needs of the present generation without compromising the ability of future generations to meet their own needs” (WCED, 1987: 8). The latter definition was reinforced and adopted by the United Nations Environmental Programme (UNEP), which defined it as “improving the quality of human life while living within the carrying capacity of supporting ecosystems” (IUCN/UNEP/WWF, 1991: 10).

Following *Our Common Future*, the United Nations General Assembly decided in 1989 to prepare for a United Nations Conference on Environment and Development, the aim of which was: “to devise integrated strategies that would halt and reverse the negative impact of human behaviour on the physical environment and promote environmentally sustainable economic development in all countries” (UNCED, 1992: 3). Two of the main outcomes from this were *The Rio Declaration of Principles*, and a detailed and wide ranging 400-page document known as *Agenda 21* identifying what should be done to turn the statements contained in *Our Common Future* and *The Rio Declaration of Principles* into a meaningful plan of action for implementation (Ola et al, 1999). *Agenda 21* stands as a comprehensive blueprint for action to be taken globally, from its publication in 1972 forward into the 21st century by United Nations organisations, development agencies, non-governmental organisations and independent-sector groups, in every area in which human activity impacts on the environment’ (UNCED, 1992: 3). Berke et al (2000: 1) posits that “to help nations achieve this goal the Commission attempted to weave together multiple societal values to confront the challenges of reducing overconsumption and grinding poverty. These values are sometimes referred to as the ‘three Es’ of sustainable development: environment, economy, and equity.”

Pearce et al (1993: 21) argue that the WCED’s definition of sustainable development is “economic development that endures over the long run.” Though the theory of sustainable development emphasises a sustained economic development which addresses the current and future resource use, it also discusses the concept of human needs and the concept of

environmental limitations to meeting present and future needs. On this basis, sustainable development is more than economic development, as described by Pearce above.

Although the theory of sustainable development is relatively new, the issues involved have nonetheless been discussed over the last three decades in different formats, by different organisations. The issues and challenges which the debate has set out to address are: global population, food stock, limited resources, environmental pollution, social disintegration, economic viability, crime and violence, and unmanaged growth (Forrester, 1971; Meadows et al, 1972; Randers et al, 1992). Geis and Kutzmark (2006) view these challenges as “either our shared doom or as our common call to action, a universal opportunity to change, improve, and optimize.”

The history and intellectual roots of sustainable development is closely linked to the history of environmental concerns, and peoples’ attitudes to nature, which dates back more than 100 years (Adam, 1990). However, the emergence of sustainability and environmentalism in the 1960s and 1970s in Europe and United States started the notion of the theory of sustainable development. Before these periods, there had been concerns about the environment. To reinforce this historical assertion Boardman (1981) stresses that the International Ornithological Congress was held in Vienna in 1884 and Budapest in 1895. These meetings later led to a signed treaty in 1902 to protect bird species. A wide range of initiatives have begun since the inception of these movements; for instance, the formation in Britain of the Society for the Promotion of Nature Reserves in 1912.

These approaches to environmental concern, however, according to Adams (1990), were very theoretical rather than applied. They were also more concerned with the local scale of development rather than the global.

The *Brundtland Report* multiplied the focus of concern and brought the debate into the international arena. The Report did this by placing elements of the sustainable development debate within the economic and political context of international development. The need to end fragmentation of the international environmental effort was also stressed in the Report. The Report's findings and recommendations were pushed to become a central guiding principle of the United Nations, Governments and private institutions (UN Chronicle, 1988). "Brundtland's analysis of the present state of the world starts from the identification of a mismatch between the capacities of the natural systems of the earth and humanity's ability to fit its activities into this framework. This has led to an interlocking series of crises of environment, development, security and energy. This interaction between global economy and global ecology entails environmental degradation, fuelled by a dramatic growth of population, particularly in Third World cities and by accelerating rates of economic activity." (Kirkby and O'Keefe, 1995: 7).

This publication, which Doane (2005) describes as perhaps one of the most influential works on sustainable development in recent times has therefore generated discussions about the implications of sustainable development as an important focus for the twenty-first century from both academic and policy-making perspectives. The subject of sustainable development is now receiving constant exploration and is being applied to various fields of study. The

outcomes of much of this work are the development of relevant sustainable development frameworks, which may be useful in measuring sustainability impact and the achievement of sustainable development. Schofield (1997) reaffirms the latter by saying that, in addition to generating global interest, each conference on sustainable development since *Brundtland Report* has produced non-binding programmes aimed at improving human habitation, reducing regional and global poverty and advancing sustainable development. “Consequently, local and regional planners, citizens’ groups and grassroots activists have identified possible areas of interaction between their own projects and the frameworks and principles established by the UN initiated conferences” (ibid: 4).

From the literature reviewed, it appears that sustainable development is being defined differently by authors to reflect various viewpoints and agenda. It is also being interpreted differently by authors, thus creating untold confusion for policy makers. Barkin (1996), contends that sustainable development has since become a powerful and controversial theory, creating seemingly impossible and incompatible goals for policy makers and development practitioners. However, what is evident from these various definitions is that they all share a certain commonality, which is the concern about the way in which the fruits of developments are shared across generations (Atkinson et al, 2007).

How is sustainable development translated in practical situations? Literature on this is rare, but there are studies on the key issues to be addressed in attempting to develop sustainable development plans. The section below identifies these issues which are particularly relevant in the UK context.

2.2.4 Integrating Sustainable Development into Plans: What are the Issues?

Literature on how to translate sustainable development into practical measures in real life settings is very limited. This shortcoming is acknowledged by Laszlo et al (2005), Kunmin et al (2008) and, Adjaye (2005). The latter wrote that “although there are many definitions of SD, practical measures to translate them into specific plans are in short supply” (Ibid: 137). There are, however, academic literature on the issues involved in implementing sustainable development (see Lindberg and Hawkins, 1993; Stephen, 2001; Abaza and Baranzini, 2002; Lafferty and Meadowcroft, 2000; Worral, 1999; Owens and Cowell, 2002; Robinson and Bennett, 2000; Buckingham and Theobald, 2003; Gouldson and Roberts 2000; Scott and Skea, 1998; Luken Beck Partnership Ltd., 1998; Lucas, 2000; OECD, 2004; Attia, 1999; Lai and Lorne, 2003). There are also other authors who presented case studies of the impact of sustainability on planning at city, sub-regional and national levels (see Gilberto and Raskin, 2002; White, 2002; Feitelson, 2004; Bowen, 2005). Of all the authors highlighted, Worrall, Attia and Bowen were the two main sources whose research specifically addressed the practical policy formulation and application of sustainable development aims and principles in real life settings, in the UK, Egypt and Jamaica.

In general terms, *Agenda 21* and *Habitat Agenda*, as well as other national and regional guidance documents on how to implement sustainable development are relied upon by policy makers in the UK and beyond to attempt to translate the theory into practical policies and plans. The *World Summit on Sustainable Development* also produced a *Plan of*

Implementation Document in 2002, which may serve as guidance to policy makers on what are needed to develop sustainable development plans (UN, 2002).

However, in implementing sustainable development, there are differences in the approach taken in the West and that taken in the developing countries. For example, the sustainability agenda in the West still focuses on environmental protection (e.g. climate change, biodiversity, protection of species and habitats), whilst the developing world is still seeking to secure improvements to human health, develop its enterprise-bases and achieve the necessary economic growth for its development (Scottish Executive, 2006). Nonetheless, there seems to be a consensus in the literature that what is required is a suitable framework which enables plans and policies to be tested to see whether they are economically, ecologically and socially sustainable (See Giddings et al, 2002; Hopwood et al, 2005; Hopwood et al, 2001; CAG Consulting, 2008; Sustainable development Commission, 2008; Sustainable Cities Research Institute, 2002; Communities and Local Government, 2008; Evans et al, 2003; Antoniou et al, 2001). This is the Brundtland approach which emphasised the need to strike a balance between the economy, environment and society to achieve sustainable development, both in the west and in the developing nations.

Adjaye (2005: 317) explains the assertion above as follows:

“for example, a proposal first has to be economically and financially sustainable in terms of enhancing growth and making efficient use of scarce resources. Secondly, it must be ecologically sustainable. This can be determined in terms of its impact in terms of ecosystem integrity, carrying capacity and conservation of natural resources including biodiversity. Finally, it must be sustainable in terms of certain social

criteria. These include equity, social mobility, social cohesion, participation, empowerment, cultural identity, and institutional development.”

These points had been raised by Purvis et al (2004), when they stated that in order for sustainable development to fulfil its potential as a new comprehensive planning framework, the environment dimension must be integrated into current planning techniques. These tend to focus on the economic and social dimensions of development, and treat the environment as a constraint on economic and social change, rather than as integral to development.

In achieving sustainable development, a policy framework is proposed in the *Brundtland Report*. The most relevant to urban sustainable development are in:

- managing climate change (WCED, 1987: 174-178);
- improving energy efficiency (WCED, 1987: 189-200);
- improving health (WCED, 1987: 109-111);
- broadening education (WCED, 1987: 111-116); and
- managing distribution and mobility (WCED, 1987: 107-108).

Managing climate change; is a policy area which addresses global warming by promoting reduced emissions of greenhouse gases, primarily CO₂. Air pollution in urban areas contributes to global warming, and is caused by the use of fossil fuels for both industry and in the growing use in motor vehicle travel. This policy area has strong links to all four points of the *World Conservation Strategy* (WCED, 1987: 174-178).

Continuing on this theme, the second area of the Report considers improving energy efficiency. This relates to the impact of pollutants on health and CO₂ on global warming. Improving energy efficiency, through using renewable energy sources and discontinuing the use of fossil fuels are seen as areas for progress (WCED, 1987: 189-200).

Improving health is the third policy area. This expands on the consideration of the impact of pollution on health and considers the wider impact of poor health on poverty and wealth creation which can be addressed through improved access to clean water, healthcare and health education - maternal and child health being of particular importance (WCED, 1987: 109 -111).

The fourth policy area is that of broadening education. This policy recognises that sustainable development requires the changing of peoples attitudes and practices. This need is addressed by promoting broadening education at all levels, so as to alleviate poverty and help individuals understand the relationship between the natural and man-made environment and the impact of development on these in a process 'cutting across the social and natural sciences and the humanities' (WCED, 1987: 113). This helps individuals to make informed choices to facilitate the reversal of unsustainable development policies (WCED, 1987: 326). Empowering vulnerable groups is seen as critical to achieving this outcome.

The fifth area addresses the problems of uneven access to wealth creation, high requirements for transport, and urban migration. It introduces the theorys of spatial planning, with consideration being paid to choices available for differential development between areas,

cities and the more rural hinterlands. This policy area has strong linkages to the first and third points of the *World Conservation Strategy* (WCED, 1987: 107-108).

These policy frameworks are aggregated and represented in Table 1 under the headings of environmental protection, economic growth and social justice (equity); with their underpinning associated principles also presented.

Table 1: Sustainable Development Policy Framework

Interest	Principles	
Environmental protection	1) Protection of natural environment	<ul style="list-style-type: none"> • This activity must respect and preserve biodiversity. • Development should be harmonious with a landscape context. • Increase of pervious surfaces and interconnectivity of critical mass of land are other ways of the protection.
	2) Minimal use of non-renewable resources and reduction of waste outputs	<ul style="list-style-type: none"> • Developers or polluters should be in charge of the cost of pollution and other harms. • We should use natural resources only at the rate at which we can generate them . • We need to reduce and recycle wastes.
Economic growth	3) Place-based economic vitality and diversity	<ul style="list-style-type: none"> • Economic activities should be related to the natural resources of the region and should not harm its ecosystems
	4) Satisfaction of basic human needs	<ul style="list-style-type: none"> • Instead of excessive development such as large houses, usually, development should meet the basic human needs such as appropriate home size, security, safety, or healthy social environment.
Social justice (equity)	5) Social equity (intragenerational equity) and intergenerational equity	<ul style="list-style-type: none"> • In land-use planning, we should consider the low-income population and not deprive them of basic property right; and we should consider the future generations' rights to use natural resources and lands.

Source: adapted from Park, 2001

Worral (1999); UNCED (1992); ODPM 2 (2000); LGA (2000a); TGLP (2006); LGA (2000b); LGA (2000c); DoE (1995); and Geddes (1998) offer a unified and an idealised

model of the process of developing a sustainable development plan: identifying and meeting needs of the community; partnership/multi agency working; policy integration and; monitoring of the outcomes of the plan. Based on this model, they propose the following sequence of events a sustainable development plan should go through in its development:

- the scope of the plan/strategy has to be set to embrace all of the sustainable development agenda before issues are identified;
- the partners need to be identified before the issues are defined and the objectives set;
- the needs of all the main parties have to be identified before the objectives are decided;
- sufficient organisational capacity has to be present to build community capacity before the community is engaged in the awareness-raising and attitude-changing aspects of the project;
- the plan must link to other plans and strategies, it should act as an overarching framework for other service- or theme-specific plans and link together with other key strategic plans;
- targets and a definition of success have to be established before implementation;
- a monitoring and review mechanism must be developed to monitor and review progress of the plan, ensuring that the activities identified in the action plan are carried out and their success assessed in addressing the priorities identified.

The processes and a range of generic indicators that are needed to operationalise these and other sustainable development policy areas identified in the *Brundtland Report* are represented in Table 2 below. These indicators are used at the local government level in the UK to measure performance against sustainable development (the UN, EU Directives, other

associated guidance and the *LGA, Act 2000* have helped to determine the criteria against which the local councils are measured on sustainable development issues).

Table 2: Summary of Key Headline Indicators for the Evaluation of Sustainable Policy Development

Headline Indicators of Sustainable Development Policy	
Environmental Indicators:	Economic Indicators (continued)
Transport:	Funding:
Reduce private car use	Public sector funding
Public transport use	Private sector funding
Cycle and pedestrian route	Improve economic efficiency:
Emissions:	Improve economic efficiency
Noise emissions	Improve integration of policy areas
CO ₂ emissions	Improve quality of decision making
Particulate emissions	Social Indicators
Efficiency:	Equity:
Energy efficiency	Improve equity of wealth creation
Waste efficiency	Improve equity of access to facilities & services
Recycling of materials	Improve intergenerational equity
Water management	Community involvement:
Ecology:	Local participation
Biodiversity	Local consultation
Habitat	Cultural:
Land Use pattern:	Disruption
Use of derelict land	Harmony
Use of brownfield site	Resident accommodation:
Mixed-use development	Local residents displacement
Economic Indicators	Safety
Wealth Creation:	Designing out crime
Effect on existing business	Tackling youth crime
New businesses created	Reduce vehicle crime
Job Creation:	Health improvement
Long-term jobs created	
Short-term jobs created	
Training skills to secure jobs	

Source: adapted from DETR (2000); GLA 2 (2004); SD Commission (2006)

The successful implementation of sustainable policy and projects can be limited for a number of reasons. These limits or barriers are to be identified and actions taken at the onset to address them. For simplicity, these limits and barriers have been grouped together, and some of the main elements of each are described below:

- social limits;
- economic limits;
- institutional limits; and
- infrastructure limits.

In acknowledging these limits and barriers, the Commission on Sustainable Development cited these obstacles as what prevent women's full participation in sustainable development and in public life; particularly the social, cultural and economic aspects, which they contend, are inextricably linked (CSD, 2000).

Social Limits

Society's acceptance of anything requiring a change in attitudes or behaviour to promote sustainable development is a significant limitation. The difficulty in persuading people to use their car less, even when more sustainable alternatives exist is a good example of this limitation. This is acknowledged by Lucas et al (2001) when they identified the following as limiting the implementation of sustainable development:

- consumption entrenched in culture;
- lifestyle aspirations in conflict with less resource use; and
- alienation from decision making processes.

The latter point is reinforced by Worrall and Ola (1999) in their recognition that a lack of community capacity to play a full role in the process of developing sustainable development policy can critically hamper the success of such policy.

Economic Limits

The most obvious economic limit to sustainable development policy is finance. This may be in the form of failure to secure sufficient funding, or through not fully understanding the risks and uncertainties involved. It may take the form of failure to provide state incentives to secure market investment (Worrall and Ola, 1999). The integration and mainstreaming of strategies for sustainable development are not cost neutral, but require dedicated resources to introduce and maintain (Williams and Thomas, 2004).

Institutional Limits

UNCED (1992) identified the institutional dimension of sustainability. *Agenda 21* contends that the lack of institutional capacity to deal with sustainable development can have a fatal effect on attempts to move towards sustainable development. The institutions involved in the process of developing and implementing sustainable development need (amongst many other things) the capacity to:

- integrate policy across sectors;
- engage the public in a meaningful process of education, awareness raising and sustainable development policy formation; and
- instigate a review of internal processes and attitudes.

To illustrate the impact institutional capacity can play in implementing sustainable development, Laird (2000: 250) wrote that “one of the biggest barriers to implementing *Agenda 21* is organisational structures (silos) and this creates the same barriers to implementing innovations that other initiatives suffer from, whether these are governmental policy or private practice.” The OECD (2004) cited a lack of integration of environmental and economic concerns in policy making as one of the main reasons why more ambitious environmental objectives have not been achieved in OECD countries between 2001 and 2004.

Infrastructure Limits

Infrastructure imposed limits may take a number of forms, such as incomplete infrastructure networks for water, power, sanitation, waste management, or transport. It may also include a lack of provision of local facilities such as shops, healthcare or employment thus decreasing the quality of life and necessitating increased frequency of travel (Ola, 1999).

2.2.5 Summary

In light of the critical analysis of the sustainable development debate it is evident that the *Brundtland Report* and other literature sources have advanced the debate on sustainable development beyond the global concern for the environment. Sustainability, as well as being a global phenomenon, has now encompassed all other aspects of human endeavours. The latter view is reinforced by Pardy (1999: 391) who describes it as “a multi-faceted theory consisting of ecological, social, and economic sustainability, and encompassing the ideals of environmental health, social justice, and qualitative improvement in living standards.”

The general consensus in the literature therefore is that the world has finite resources which necessitates that efforts should be made by all parties concerned to preserve them. This point is made more pellucid by Lipschutz (2002: 32), when he asserts that “all definitions of sustainable development thus more or less hew to the broad notion that human consumption of resources and environmental services must be sustainable in not exceeding the capacity of the biosphere/environment—possibly in conjunction with technology and social organisation—to supply those resources or absorb waste products. That is, “natural” stocks and flows of goods and services must not be degraded or damaged to the point that they collapse or disappear.”

It is argued that humans’ current pattern of consumption, if not curbed, will result in the depletion of earth’s scarce resources, which bodes trouble for present and future generations.

Although the concept of a *zero growth* paradigm still remains one of the most powerful concepts in environmental protection, according to Pacheco-Vega et al (1999); it has, however, gradually been discredited, as for instance, discovery and extraction of most non-renewable materials have kept pace with consumption; and, many forms of pollution are subject to stringent controls. In its place is found the more comprehensive theory of 'sustainable development', as espoused by the *Brundtland Report*.

The approach taken in this study is that sustainable development recognises that there is a mutual interdependence between economic development and environmental sustainability. As argued by Daneke (2001), sustainable development does not separate environmental consequences from social and economic ones.

Growth is to be encouraged, but only in so far as it does not irreversibly harm the environment. From this, it should not be assumed that environmental problems are not very serious in nature. However, if it is managed efficiently, through adhering to the principles advanced in the *Brundtland Report*, the earth's carrying capacity can be maintained. This would require the input of all stakeholders in the local, regional, national and international/global arena. The role globalisation plays in the sustainable development debate is discussed below, starting with globalisation theory. Sustainability is further discussed in Chapter Four, where it is conceptualised as a meso (middle-range) theory – looking at the national/local level..

2.3 Globalisation Theory

2.3.1 Introduction

In the previous section sustainability and sustainable development were defined, described and discussed. The latter part of the previous section focused on the practical issues of implementing sustainable development, particularly in developed nations, such as the UK. This section of the study however, will critically examine globalisation as a phenomenon and its relationship with the sustainability debate. This stems from the importance placed on the linkage between sustainability and globalisation by the following bodies and reports: the Parliamentary Assembly of the Council of Europe, the 1997 United Nations General Assembly Special Session on Sustainable Development, the *Brundtland Report*, and the 2002 World Summit on Sustainable Development (WCED, 1987; UN, 1997; Ulrich and Gorg, 2008; Council of Europe, 2003). The debate emphasised the opportunities and threats inherent in this linkage, and therefore advocates for a greater effort at addressing the impacts of globalisation on sustainable development, particularly at the local level (Voisey, 1998; OECD, 2002).

McNally (2000) and Shiva (2000) also link globalisation and sustainability. The former examines some of the most important links between globalisation and sustainable development, and suggests how they can be made mutually supportive. Shiva (2000) on the other hand, in a BBC Reith Lecture noted that

“as economic systems became global in scale, scientific research has revealed more ecological interdependencies and environmental impacts that refuse to respect the boundaries of nation states. Social institutions too have begun to show strain induced by increased population, inequalities in development and burgeoning health issues. Armed with a new awareness of the complexity of living and social systems, an investigation of the assumptions that underpinned our common understanding of economic, social and environmental systems has begun. The debate divides between those who think that a new model of growth is needed (sustainable development), and those who question whether a new model is needed at all” (Ibid, 2).

In short, it is the most exciting and challenging debate that human beings can be engaged in; not because, from our partial view, the stakes are high, but because there has simply never been the opportunity to rethink all our ways of engaging with the world around us in such a fundamental way (ibid).

The question, however, is how globalisation can help or hinder progress towards sustainability? Globalisation has the potential to bring about environmental opportunities through increased access to markets, information, capacity sharing and cleaner technologies. It is also capable of bringing about environmental threats, particularly in increased consumption of natural resources and generation of waste. Before examining the literature focusing on the impact of globalisation on sustainability, globalisation as a theory is critically reviewed below.

2.3.2 Defining Globalisation

Like the literature on sustainable development, various definitions of globalisation theory also abound in the literature reviewed. Each definition represents a viewpoint and standpoint of the authors, and their agenda. Held et al (2004), categorise the various viewpoints about

globalisation from different authors into three categories which they termed hyperglobalizers, the sceptics, and the transformationalists. The following definitions illustrate the diverse definitions of globalisation. Gunn (2005), whilst acknowledging that the term globalisation is used in different ways, looks at globalisation in the context of its impact on culture. He asserts that globalisation includes “the emergence of supranational institutions which threatens the powers of the nation state, the impact of economic change on a world wide scale and changes in technology and communication which impact on the culture of nation states” (ibid: 1).

Rugman (2000: 4), on the other hand defined globalisation from economics perspective, by stating that it comprises of “the activities of multinational enterprises engaged in foreign direct investment and the development of business networks to create value across national borders.” Taking another perspective to Rugman, economic globalisation can be regarded as enhancing greater global connectedness of both livelihoods and the production of goods and services (Buttel, 2003). An increased economic integration emerges between nations, which then leads to the emergence of a global marketplace or a single world market where enterprises such as multinational companies are exempt from local, and nation-state control and administration.

McIntosh (2004) and Giddens (2004: 60) took a sociological perspective in their definition of globalisation, Giddens conceives it “as the intensification of worldwide social relations which link distant localities in such a way that local happenings are shaped by events occurring many miles away and vice versa.” This was also the position of Akindele (2002)

and Scholte (2004), when they contend that globalisation has brought about the proliferation and spread of supraterritoriality, which in effect has ended territoriality.

The multi-varied definition of globalisation was acknowledged by Beynon and Dunkerley (2000), and Yeung (2002), the latter argued that the definition of globalisation theory is vague and remains elusive in the literature. Jessop (1999), echoes this view by saying that the definition of globalisation theory is 'chaotic' in the literature. For Haynes (2008), globalisation is a contested theory. Brooks (2001: 4) on the other argued that "the problem with trying to pin it down is it's not so much a theory, more a buzzword." However, Jaarsveld (2004: 1) offered the following definition, which is the central tenet of the definitions offered by the authors above and also shared by De la Dehasa (2006), and Held et al (2004): globalisation is "the intensification of world-wide social relationships which link distant localities in such a way that local happenings are shaped by distant events and, in turn, distant events are shaped by local happenings. It is a process which has led to reduction of geographical, spatial, and temporal factors as constraints to the development of society. It has resulted in an increased perception of the world as a whole, and a readjustment of societal thought and action away from national, and towards international and global sphere"

Osland et al (2003), contend that globalisation is a theory whose aim includes the interpretation of the current events on the international sphere in terms of development, economic conditions, social scenarios, and political and cultural influences. Today, globalisation is a main topic related to politics, economics, culture and the world social system. "Developments which have taken place in communication, collective security

system, privatization advancement, market – based economics, cultural pluralism and the advent of environmental and non – class social movements are some of the achievements of globalisation” (Mohaghar and Shafee, 2003: 1). This position is shared by Voisey (1998), Reyes (2001) and Shaw (1999). The latter wrote that “the main loci of globalisation are in technology, economy, communications and culture” (ibid: 1). These definitions highlight the ubiquity of globalisation. It has become a pervasive phenomenon in which no one, irrespective of where they live, is untouched in one shape or form by its effects (ECSSR, 2008). This is captured more succinctly by Lazarus (1998) when he contends that “no issue of the Guardian, the New York Times or, of course, the Wall Street Journal or the Financial Times, goes to print without copious reference to it. No policy speech by Blair, Clinton, Frei, Mohathir, or Mbeki is replete without a solemn invocation of the doctrine.”

A common thread in the thinking of the authors discussed appears to be that globalisation is the consequence of modernity, driven by the growth and advancement in information and communication technologies. It underlines two main increasing trends, namely that of worldwide active communication systems and fluent economic conditions, especially the high mobility of financial resources and trade (Reyes, 2001). These have allowed information to flow much more freely and rapidly, thus allowing a global perspective to emerge rapidly. Woods (1995) contends that the tools that facilitated this flow of information and growth in international trade were international transportation, technology, and the ever-decreasing cost of telecommunications.

2.3.3 Tracing the Origin of Globalisation

Is globalisation a recent phenomenon? Views on the exact beginning of globalisation vary amongst different authors. Eriksen (2007) opined that the word globalisation was hardly used before 1980s. Keohane et al (2004: 75) on the other hand contend that the term globalisation “emerged as a buzzword in the 1990s, just as interdependence did in the 1970s, but the phenomena it refers to are not entirely new.” Modelski (2004) attributed the worldwide political order of the Moslem world during 1000AD to the beginning of the period of globalisation. O’Brien (2002) on the other hand, identified four epochs in the history of globalisation,⁴ which he represented as, archaic, proto, modern and post-colonial.

Post-colonial globalisation was the period when most nations began to embark on deregulation of their markets to allow private enterprise to flourish. This earmarked the period of expansion by multinational companies, which ventured further into previously closed markets, bringing with them values and customs alien to the host nations. O’Brien (2002: 5) demonstrated this point when he used the example of Chinese Prime Minister, Deng Xiaoping’s policy of opening the Chinese economy, including the agricultural sector, to private enterprise in the 1970s. As a result of which, many Chinese “ditched the usual monochrome jackets and replaced them with Western-style clothing. However, the biggest change was not the change in attire but the change of ideology, when ‘socialism with Chinese

⁴ The archaic period of globalisation became evident in between 13th and 18th centuries, and was structured around religion. Proto globalisation covered the period between 1600 and 1800 in Europe, Asia and parts of Africa, including the plantation system of the Americas and Africa, and the African slave trade. Modern globalisation on the other hand started after 1800 during the period of industrialisation in Europe. The latter development had spread to other parts of the world through assimilation and association. Post-colonial globalisation, which represent the present day globalisation started in 1950s or mid 1970, according to O’Brien (2002).

characteristics' lost its edge and was replaced by 'capitalism with Chinese characteristics', although, in the words of the essayist, this signified reliance on family ties and corruption.”

For Girvan (1999), the linking up of different regions of the world started during the latter part of the 15th century due to the European maritime and mercantile expansion. “But the widespread use of the term belongs to the 1990s; a popular and journalistic expression of the ideology of neo-liberalism applied to the post Cold War world” (ibid).

The last decade of the twentieth century saw the growth of a multilateral world system, termed globalisation. The latter was preceded by a dominant world system in the 1960s and the seventies called interdependence (O’Riordan, 2001; Cho and Smith, 1995; Mohaghar and Shafee, 2003: 1).

McNally (2000) on the other hand traces the modern origin of globalisation to the 1980s when, according to him, “profound economic, political and technological transformations took place around the world. Many of the underlying trends, of course, have a much longer history” (ibid: 1).

In adding to the debate on the history of globalisation, Haynes (2008) identified three distinct historical processes of globalisation. The first of these processes he named as global capitalist economy developed from the 16th century, which over time both economically and developmentally, divided the world’s nations into core, semi-peripheral and peripheral areas. This demarcation is differentiated by the levels of industrialisation - highest in the core

lowest in the periphery. Haynes, however, contends that what became known as economic globalisation developed to include major increase in international economic interaction after the end of the cold war in 1989.

From the literature, it therefore appears that each epoch in development has had a tag attached to it. This in essence means that globalisation is not a recent phenomenon. However, according to the literature, its origins are very fussy, but they are generally identified with the 1980s and 1990s when major economic, political and technological transformations occurred globally. However, many of globalisation theory's underlying trends as we know it today have a much longer history. For instance, some authors such as Tomlinson (2000) view imperialism as a form of globalisation, in which there is an extension of one country's rule and influence over other nations, as in the case of the British empire. The British colonised nations in Africa and Asia, ruling over them and presiding over their economy to the disadvantage of the host nations. Not only were their resources exploited but also were their cultures. Windschuttle (1998) describes the latter view as today's liberal thinkers view of imperialism. He asserts that:

“western imperialism is widely regarded among liberal thinkers today as the most damning indictment of Western culture. As the process unfolded over the past five hundred years, it was accompanied, we are now frequently told, by unconscionable exploitation and in some cases the near total destruction of the indigenous inhabitants of the European colonies, together with widespread slavery and gross abuse of indentured labour, not to mention the rampant destruction of the environment” (Ibid: 1).

There are others such as Patnaik (1993) who views the US invasions of Vietnam and Panama as a modern form of imperialism. He wrote that “there was the invasion of Grenada, and

more recently the invasion of Panama, justified on the argument that the jurisdiction of a U.S. court extends to foreign countries as well. There has been the remarkable spectacle of the United States using its domestic social crisis, i.e., drug-abuse among the youth, as an argument for violating the sovereignty of states across the entire Latin American continent, waging battles against peasants to alter their production decisions (even while demands for raising the prices of alternative crops to coca have met with a stubborn refusal)” (Ibid: 1). Judging by these authors views on imperialism, the claim can be made that the current hegemonic relationship between the western nations and the developing nation is a form of imperialism, particularly in the field of trade, where there is unequal trade terms and relationships.

2.3.4 Trends in Globalisation

The literatures also suggest that globalisation is built on five key trends, which are mutually reinforcing and subject to increasingly rapid change. These are economics, technology, politics, culture and the environment (IIED, 2000; Held et al, 2004; Keohane et al, 2004; Park, 2003; and Reyes, 2001). These trends are explained as follow:

Economics is cited in the literature as one of the driving forces of globalisation. This is fuelled by the spread of market-oriented approaches to development; withdrawal of state provision; privatisation and deregulation; trade and investment liberalisation; and increasing penetration of trans-national corporations IIED (2000). The latter are the major drivers in the global economy. In reinforcing this assertion, Rugman (2000), claims that global business is

dominated by the 500 largest multinationals enterprises from a total of about 30,000 multinationals. As well as wielding enormous economic power, they also have the capacity to influence political policies in their home bases and elsewhere (Giddens, 2004). The resulting effect of the economic dimension of the globalisation phenomenon is that it has increased the flow of trade, capital, services, information, and the mobility of peoples across borders (Keohane et al, 2004; Leautier, 2006).

Another driver of globalisation mentioned in the literature is technology. Masson (2001: 2), wrote that “periods of increased globalisation have tended to be associated with technological innovations that reduce transportation and communications costs and with generally rising standard of living.” This view was shared by Strange (2004) and IIED (2000); the latter wrote that globalisation is a result of rapid innovation and increasing inter-connectivity in the areas of information and communication services and also biotechnologies.

The growing significance of the ‘knowledge economy’ has had a profound impact on globalisation. This and the role trans-national companies play in transforming the global economy into one that respects no state or national boundaries have had a profound impact on global politics as well. The latter is another aspect of the trends associated with globalisation in the literature. Jegede (2001), Ostry (1998) and Anderson (2006) opined that there is a school of thought that suggests globalisation is causing a progressive erosion of the sovereignty of the nation state. This, they attributed to the fact that trans-national corporations are becoming increasingly powerful, and are exerting influence on and control over economic policies around the world.

Multinational companies are not the only actors challenging the power of the nation state, as Ostry (1998) acknowledged. The international non-governmental organisations (INGOs) are increasingly wielding influence both domestically and internationally. As well as the above player exerting influence on the domestic policies and politics of sovereign nations, there are also other new global institutions such as General Agreement on Tariffs and Trade (GATT) and The World Trade Organisation (WTO) having an effect. Broad trends such as democratisation (including decentralisation), the changing position of women and assertiveness of civil society are also having a profound impact (Park, 2003 and IIED, 2000).

The fourth trend identified in the literature is culture. This relates to the increasing homogenisation of culture, lifestyles and aspirations via media, TV, film, tourism etc; combined with greater scope for the rapid spread of different views and greater opportunities for marginalised voices to be heard (IIED, 2000; Robinson, 2004). The increasing convergence of cultures across the globe is seen by O'Brien (2000) as a threat to cultural diversity. Jacques (1997) on the other hand, opined that it is creating a shift in political attitudes towards a more liberal attitude. Using the Conservative Party (Tories) in the UK politics as an example to illustrate the latter he stated that "one of the most important changes in our culture over the past few decades has been the decline of the traditional family. We are now witnessing an important shift in political attitudes, with the Tories belatedly accepting the legitimacy of a plurality of lifestyle" (Ibid: 2).

The last, but by no means the least trend of globalisation as identified in the literature relates to the environment. Mann (2004) and Keohane et al (2004) cited environmental globalism as

another important force in globalisation. Keohane et al (2004: 76) wrote that environmental globalism “refers to the long-distance transport of materials in the atmosphere or oceans, or of biological substances such as pathogens or genetic materials, that affect human health and well-being.” They continue by citing, global transferable and infectious disease such as AIDS and the depletion of the ozone layer as a result of ozone depleting chemicals as an example of environmental globalism. This position was shared by the IED (2000), when they contended that through the environment there is increasing inter-linkage between ecosystems, accelerating biological invasions; simplification and homogenisation of natural systems; and intensifying pressure on global commons.

Although there is consensus in the literature that the trends identified above do drive globalisation, opinion on their impact however differs. Some authors stress the positive impacts associated with these globalisation trends, whilst some concentrate on the negative impacts. These impacts are critically reviewed below, but with specific reference to sustainable development.

2.3.5 Impact of Globalisation on Sustainability and Sustainable Development

The literature review on sustainability and sustainable development reveals that the global debate on these two theories centres on global warming, deforestation, ozone layer depletion, biodiversity, pollution, population, intergenerational equity, poverty, health, culture and economics (see Meadow et al, 1972; Forester, 1968; Lovelock, 1965; Owen, 1991; Harding, 1998; Baker, 2008; Diesendorf, 2000; George and Kirkpatrick, 2007; Blewitt, 2006; Nemetz,

2007; IUCN/UNEP/WWF, 1991; WCED, 1987; Adams, 1990; Mitlin, 1992; Reid, 1995; Dobson, 1996; Lafferty, 1999; and Moffat, 2001). Of great interest might be how these variables of sustainability and sustainable development are affected by globalisation? The following are suggested in the literature as the drivers of globalisation that can affect the above global variables of sustainability: economics, politics, culture, the environment, information and communication technology, and international co-operation and agreements (see IIED, 2000; Held et al, 2004; IIED, 2001; Beynon and Dunkerley, 2000; Ulrich and Gorg, 2008; Keohane et al, 2004; Baker, 1997; Lyons, 1988; Castells, 1996; Boyer, 1996; Axford, 1995; Ohmae, 1996; Park, 2003; Reyes, 2001; and Rugman, 2000). However, opinion on the impact of these global drivers of globalisation on sustainability differs.

There are two opposing camps in the literature on the impact of globalisation theory on sustainability and sustainable development. Some authors strongly argue the positive impact that can be achieved as a result of globalisation. There are other authors such as Klein (2000), Klein (2009), and Shiva (2005), who argue that globalisation presents untold threat to the environment and humanity.

Proponents of globalisation, such as Brown (2000) and Flavin and Lessen (1994) argue that through improved technology and greater information flow, most nations in the world are now familiar with practices such as improved energy efficiency technologies and other environmentally friendly approaches to development, which have now made obsolete practices and old technologies that contribute to pollution. It is also the view of Glover and Byrne (2002) that globalisation will benefit the natural environment due to the development

of sophisticated technology that can rapidly be diffused through out the world, replacing the polluting technologies which dominated the industrial era. These practices are being helped by various international summits and conferences on sustainability which advocate and promote amongst nations the adoption of sustainable practices in various areas of development. One such international agreement was the Kyoto Agreement. The *Kyoto Agreement* or Protocol is an agreement under which industrialized countries will reduce their collective emissions of greenhouse gases to 5% below 1990 levels by 2008 - 2012. The question one asks is whether major industrial countries are happy to be signatory to these agreements, so as to make it more meaningful. For instance, it is widely known that the US under the leadership of the former president George Bush had refused to sign the agreement. This, according to many in the developed world was not a good sign, as the US was still the most powerful nation in the world, which critics believed should have shown leadership by signing the agreement.

On the economic front, Bryan and Farrell (1996), and Thurow (1990) contend that globalisation will spread economic prosperity. Wildavsky (1995) concludes that globalisation will improve lives, through better health care and easier access to new technology. The promotion of cultural exchange through globalisation was stressed by Friedman (2000) and Johnston (1997). The latter opined that through good leadership and armed with the right policies, the fruit of globalisation will move all countries along the path towards sustainable development whilst at the same time reducing near-term economic, social and environmental frictions (Ibid). They continued by stating that through globalisation, economic growth, social stability, sound governance and a community of nations, will be created in which all

share a decent standard of living, individual freedom, personal dignity and a clean, healthy environment (Ibid).

At the other end of the argument are critics such as Vayrynen (2005), Klein (2000), Klein (2009), and Shiva (2005) who opined that inequalities has become a major issue in the debates concerning globalisation and its effects on individual, social groups, regions and nation states. This is echoed by Beeson and Bellamy (2003) who agued that there is perception in some part of the world (rightly or wrongly) that the failure to recognise the implications that flow from massive international inequalities of wealth and power, resulted in the September 11, 2001 attack on the world trade centre. Beeson ad Bellamy furthered this argument by saying that “American hegemony is - rightly or wrongly - seen as responsible for a global order that entrenches the interests of privileged western elite whilst condemning a third of humanity to poverty. In such circumstances, where hundreds of millions of people consider themselves to have little stake in the prevailing order, ideologies of violence and mayhem may enjoy a degree of support and even legitimacy” (Ibid: 1).

The inequality aspect of globalisation featured strongly in the IIED (2000) writing. The IIED contend that the benefits associated with globalisation on sustainability are, in most cases, likely to be realised in the developed economies where access to wealth and resource are in abundance, in comparison to the developing world where most people struggle on \$1 a day.

The UNDP Report (1999), Chan and Scarritt (2002), Douglas (2000), Selman (1992), and Mol (2001) also see a disharmony between sustainability and globalisation. For example,

according to Selman globalisation is putting many resources under pressure. He cited the high rate of household formation, second home ownership, intensification of rural land use and demand for leisure pursuit in the developed world through globalisation as putting pressure on environmental sustainability. The UNDP equally stated that globalisation is creating new threats to human security, both in rich and poor countries. These threats are listed as: financial volatility and economic insecurity; job and income insecurity; health insecurity; cultural insecurity; personal insecurity; and environmental insecurity. The points made by the UNDP's have become more apparent in 2008 and through 2009, when the economic turmoil which started in the US has reverberated around the globe. The problems with the subprime mortgage⁵ in the US and the subsequent slump in their housing market, coupled with the increasing rise in petrol price have combined to threaten the global economy (Bernanke, 2008). Castells (2004: 430) added his own concern that "the rise of informationalism at the turn of the millennium is intertwined with rising inequality and social exclusion throughout the world." He cited 'the process of capitalist restructuring, with its hardened logic of economic competitiveness' as one of the major reasons (ibid).

Ikeme (1999) added to this debate that globalisation appears to be at loggerheads with the principles of sustainable development. This represents one paradigm for international relations, which is that of consensus-seeking, incorporating the needs of all countries. It also calls for partnership in which the strong would help the weak, integration of environment and

⁵ "Subprime lending is the practice of making loans to borrowers who do not qualify for market interest rates owing to various risk factors, such as income level, size of the down payment made, credit history, and employment status.....The subprime mortgage crisis is an ongoing economic problem which became more apparent during 2007 and 2008, and is characterized by contracted liquidity in the global credit markets and banking system. The downturn in the U.S. housing market, risky lending and borrowing practices, and excessive individual and corporate debt levels have caused multiple adverse effects on the world economy. The crisis has passed through various stages, exposing pervasive weaknesses in the global financial system and regulatory framework" (Wikipedia, 2008).

development concerns, and in which there is the intervention of the state and the international community on behalf of public interest to control market forces so as to attain greater social equity, and bring about more sustainable patterns of production and consumption (Ibid).

According to Ikeme (1999) on the other hand, globalisation with emphasis on liberalisation represents a very different approach from sustainability. This contended that globalisation advocates the reduction or cancellation of state regulations on the market, letting 'free market forces' reign, providing a high degree of rights and 'freedoms' to the large corporations that dominate the market. In neo-liberal thinking on globalisation, the state should intervene only minimally, even in social services. With regards to the environment, instead of intervening in or imposing environmental controls, the market should be left free in the belief that this would foster growth with the resultant increased resources being used for environmental protection. This approach also sidelines concerns of equity, or the negative results of market forces, such as greater inequality and non-fulfilment of basic needs. It assumes that markets will solve all problems. Extended to the international arena, the paradigm advocates liberalisation of international markets, breaking down national economic barriers, and allows corporations the rights to sell and invest in any country of their choice without restraints or conditions. Governments should not interfere with the free play of the market, and social or development concerns (for instance, obtaining grants from developed countries to aid developing countries) should be downgraded. Globalisation thus, simultaneously increases the demand for social insurance while decreasing the capacity to provide it (Ikeme, 1999; Johnston, 1997; Dohlman and Quevedo, 1997).

For all its potential to act as a driver for sustainable development, globalisation is currently viewed by the above authors to be contributing to the further marginalisation of developing countries and the weakening of their capacity to improve the livelihoods of their people in a sustainable way (UNCTAD, 1999 and UNDP, 1999). The developed economies are not particularly immune from the negative impact of globalisation, particularly on the economy. The recent global economic turmoil which started in the US, which has now spread across other parts of the world, has left a trail of destruction in the developed world. This destruction has manifested itself in job losses, business closures, financial hardships and the near collapse of some weaker economies. Critics such as journalists have blamed the present economic turmoil on lack of adequate regulations by governments to curb the activities of financial institutions. Meanwhile, in order to stem the present economic turmoil, governments, such as in the UK and in the US are beginning to intervene in the markets by re-financing out financial institutions. In most cases, these governments are short of owning these financial institutions outright. This approach is the antithesis of globalisation, which according to Ikeme (1999) represents a philosophy of *laissez faire*, where deregulation and a hands-off economics approach by governments is the norm. Based on the above analysis, it is perhaps prudent to assert that globalisation and sustainability represent two opposing paradigms.

Gallagher and Werksman (2002), and Mellor (2002), capture this more succinctly when Mellor opined that globalisation, through global capitalism has mined and destroyed tracks of the natural environment. This is because it is a value system based on money, and the main feature of this is that only what sells on the market for money is valued. Mellor could not

have predicted the present economic hardship facing the global community when he espoused these comments. In light of the present economic conditions, it is perhaps appropriate to expand Mellor's claim above to include the economy.

The social aspect of the negative impact of globalisation on sustainability has also been commented on by Bos and Preywr (2002), and the IIED (2002), when they contend that social institutions have begun to show strain induced by increased population, inequalities in development and burgeoning health issues. The impact of improved communication, transportation and growing interaction between different nations, through trade and tourism, have contributed to the increased population in developed economies thus adversely impacting on their social institutions.

2.3.6 Summary

The literature confirms that viewpoints and perspectives on globalisation vary greatly amongst authors. Globalisation is a theory whose meaning is contested, in the literature on the subject. However, it is clear that there are two distinct camps in the globalisation debate. These represent the positive globalists and the negative globalists - which can be presented as an inequality paradigm. The latter relates to the concentration of economic activity in the western world (the EU, the USA and Japan), which the negative globalists perceive as unequal and unsustainable.

The divergence opinion on the impact of globalisation on sustainability and sustainable development is striking. The two theories of globalisation and sustainability represent two opposing paradigms in which the former is based on the 'survival of the fittest,' and the latter on consensus seeking between the rich and the poor. This contention is supported by Ikeme (1999). On the other side of the equation, the pro globalists view the relationship between the sustainability and globalisation as synergistic opportunity. They espoused that technology and liberal economics will create rapid and sustained economic growth in nations that take advantage of what globalisation has to offer, thus improving the quality of life of their citizens. They also believe that through globalisation, technology will improve the environment through sophisticated environmental technologies that will render obsolete the archaic environmental practices of the past.

In light of the advantages and disadvantages of globalisation on sustainability and sustainable development identified in the literature, the question one asks is whether there is room for the disadvantages of globalisation to be minimised and the benefits associated with globalisation fully maximised? It would appear that a greater understanding needs to be developed of the links between globalisation and sustainability. This is in order to spread this understanding to all involved, enhancing their capacity to act upon it and creating new systems of governance to cope with global change. By so doing, the potential environmental benefits that globalisation can offer can be shared more equitably. Through this process of empowerment, the potential risks for disadvantaged groups, and the negative impacts on the environment can be identified and minimised.

This empowerment starts at the local grassroots level. It is as a result of this recognition that in Chapter Five (through substantive theory) an approach to addressing sustainability at the local level is developed. There has been less emphasis placed on the role local actions can play in achieving global sustainable development throughout the literature. As Macnaghten and Urry (1998), and Voisey (1998), have argued sustainable development is both globalising and localising, as demonstrated by the phrase: 'think global, act local'. It requires a global awareness of the interconnectedness of processes, places, and people as well as their relationship to each other, which will change attitudes and behaviour at a local level. It also requires local implementation and so has to be adapted to this context. It is about both co-operation at a global level, and local communities making decisions about how they are going to implement sustainability principles. This is congruent with action research, this study's chosen methodology. Action research allows for participation of others so that shared interpretations are developed to help transform thinking and actions for sustainability. This is also congruent with the participatory worldview, which advocates participation in research process. Within this worldview "worlds and people are what we meet, but the meeting is shaped by our own terms of reference" (Heron 1996a: 110). In this worldview, a co-operative approach is encouraged where all stakeholders (globally, nationally, regionally and locally) can be empowered to take action to counter for instance the threat of globalisation to sustainable development, as in action research.

2.4 The Missing Gap and Conclusion

It was indicated at the beginning of this chapter that an attempt will be made to foreground the theoretical framework for this study by critically reviewing the theories introduced in Chapter One. This has now been accomplished. A claim was also made in the previous chapter that a great deal of literature exists on the definition and the meaning of the theory of sustainable development. This chapter of the study has confirmed this. The chapter also confirms that this is the case with the theory of globalisation, where views on the meaning of the theory and its impact on sustainability markedly differ.

What this chapter of the study also shows is the lack of literature or research on translating sustainability into practical measures. There is also the neglect of the role that actions at local level can play in achieving sustainable development, as acknowledged by Adjaye (2005), Laszlo et al (2005), and Kunmin et al (2008).

Confirmation of this neglect is in the fact that most of the literature reviewed concentrates on the global quest for sustainable development, through national and regional governments, and international institutions. Although, the international conferences on sustainable development, for example, the Rio Summit in 1992, emphasised the importance of local actions at achieving sustainable development; unfortunately, there is less evidence of this happening in the literature. The International Institute for Environment and Development (2002), acknowledge this neglect when they wrote that although research and local knowledge mobilisation are important and integral components of the Sustainable

Development process, they have been comparatively neglected. This partly explains the lack of progress since Rio Summit. Mega (1996) argues that in making sustainability plans, emphasis should also be on linking the local to global concerns.

The IIED continue by saying that the local knowledge and research capacities – and their engagement with policy-makers, producers and consumers on a continuing basis – are central requirements for sustainable development. These are often neglected or weak, and are poorly co-ordinated. There is a need to emphasise partnerships between researchers, policy-makers, advocacy groups, businesses and community organisation (IIED, 2002).

Berke (2000: 21) offered a new definition of sustainable development based on the need to link local actions to the overall global quest for sustainable development: “Sustainable development is a dynamic process in which communities anticipate and accommodate the needs of current and future generations in ways that reproduce and balance local social, economic, and ecological systems, and link local actions to global concerns.” This definition emphasised the need for deriving a “more refined and comprehensive set of sustainable development principles for guiding an evaluation of local comprehensive plans” (Ibid: 21).

It is as a result of the significance of local action towards achieving and contributing to the global quest for sustainable development, and also because change is sought in my professional practice, that this study develops the substantive theory and also engages in the evaluation of the *Havering Community Strategy*. The latter is a local level strategy document designed to ensure the social, economic and environmental sustainability of the Borough of

Havering. Even though it has a local significance and of local applicability, it is seen by the government as a way of local authorities making a contribution to the national and global quest for sustainable development (LGA, 2000). For this reason, local authorities in England and Wales are statutorily required through the *Local Government Act 2000*, to develop a community strategy for their respective areas (HMSO, 2000).

The substantive theory developed will be supported by the evaluation (through a multi-criteria analysis) of the *Havering Community Strategy* for the incorporation of sustainable development aims and principles as outlined in Chapter One. In so doing, the study would have attempted to fill the gap in the literature identified. Although lessons learnt and policy recommendations made are local and specific to Havering; it is hoped that it would also be of interest to others in similar settings, fill the gap identified in the literature and also contribute to the sustainable development debate.

On the basis of this, and the argument made for local level approach to achieving global sustainability, the study proceeds to the next chapter which overviews the methodological approach to the study.

CHAPTER 3:STUDY METHODOLOGY

3.1 Introduction

In Chapter One, one of the aims of this study was identified as seeking ways of translating sustainability and sustainable development aims and objectives into practical means in a local government setting. In other words, the study is concerned with the application of theory to practice. One of the objectives identified in Chapter One of achieving the stated aim of the study, is the use of action research methodology. This section of the study is designed to achieve the latter objective, having established the theoretical foundation for the study in Chapter Two, where the theories of sustainability and sustainable development, as well as globalisation theory were critically analysed to identify the research issues. In this chapter, however, I identify and discuss the research processes and methods used to provide data to investigate the issues identified in Chapter Two, so as to achieve the stated aim and objectives of the study, as described overleaf.

An introduction to the study methodology had begun in Section 1.6 of Chapter One. This chapter thus builds on the latter section to provide assurance that appropriate procedures were followed. I also justify the choice of research paradigm, methodology and methods. I begin the chapter by discussing the paradigm and methodological issues that influenced the study. This is discussed with reference to my approach, skills and assumptions.

3.2 In Search of an Appropriate Research Paradigm

Placing this study within a research paradigm is a requirement of social science and management researchers, as this helps to explain their methodologies and techniques. It also helps in the justification of their findings as providing an addition to the body of accumulated knowledge (Remenyi et al, 1998).

According to Blaxter et al (2001), everyone has a theory about how the world works, what the nature of humankind is and what it is possible to know and not know. In the field of social science these issues are often categorized and referred to as paradigms. The latter term offers a way of categorising a body of complex beliefs and world views.

Guba and Lincoln (1985), Mason (1996), Denzin and Lincoln (1998) Easterly-Smith, Thorpe and Lowe (1999), Guba and Lincoln (2000), Remenyi, Williams, Money and Swartz (1998) and Hussey and Hussey (1997) cite a range of research paradigms and methodologies available to researchers. The authors concur that the choice of an appropriate paradigm is determined by the researcher's assumptions, which they summarised as, ontological, epistemological, axiological, rhetorical and methodological. Paradigms with their underlying assumptions thus determine how research should be conducted, as they offer a framework comprising of an accepted set of theories, methods and ways of defining data (Hussey and Hussey, 1997).

The main research paradigm for the past hundred years has been that of logical positivism. Over the last century, however, other research paradigms have emerged as a direct challenge to positivism. For the purposes of this study, I will refer to only two other alternative paradigms of enquiry, namely interpretive paradigm and participatory inquiry paradigm, which are explained later in the chapter. There are, however, other emerging and existing paradigms, which are not touched upon in this study.

In the interim, I will elaborate on the various assumptions previously touched upon to set the framework for the understanding of the three paradigms. What therefore, do these assumptions mean, and what is their relevance, and how do they guide the choice of a paradigm? Starting with the ontological assumption; this in effect is concerned with the researcher's worldview. Does the researcher consider the world to be objective and external to the researcher? Or, as Hussey and Hussey (1997) put it, is the world socially constructed and only understood by examining the perceptions of human actors?

Epistemology on the other hand is concerned with the question of what is considered as acceptable knowledge in a discipline (Bryman 2004). The central issue here is the relationship of the researcher and the researched; is the researcher independent of the researched? Or does the researcher interact with the subject? Epistemology is concerned with philosophical claims about the way the world is known to us 'or can be made known to us and, as such, clearly involves issues about the nature of knowledge itself' (Hughes 1990: 5).

Axiology is concerned with value. Is the process of research value free? Rhetorical assumption relates to the language of the research. How is the language employed in the research; does the researcher employ a formal or passive style in his or her writing? Finally, methodological assumptions are primarily concerned with the process of the research. Methodology as a term refers to the overall approach to the research process (Hussey and Hussey, 1997).

Having explained the various assumptions underlying the choice of a research paradigm, I will now revisit the three research paradigms of positivism, interpretivism and participatory inquiry paradigm previously mentioned, to establish their underlying assumptions. This is in order to assess how they fit with my own assumptions. This assists in my choice of appropriate paradigm for this study. A fuller exposition on these paradigms of enquiry is appended in the study as Appendix B.

3.2.1 Positivism

The term positivism is also referred to in some quarters as empiricism, behaviourism, naturalism or science. However, for the purposes of this study, the term will be referred to as positivism. The ontological assumption under this paradigm entails the belief that reality is stable and can be observed and described objectively, without interfering with the phenomenon being investigated (O'Brien, 1998; Mjoset, 1999; Barker and Pistrang, 2005; Bryman, 2004). It is therefore, an approach to science based on the natural science model in which a belief in universal laws and law-like generalities can be found. One of the

fundamental rules in positivistic studies or research is the pursuit of objectivity and neutrality to ensure that distance is preserved and personal biases avoided (Holloway, 1997).

In its epistemology, the researcher is detached from that being researched and knowledge is derived from sensory experience, and the concepts and generalization are summaries of particular observations. Positivism methods and methodology rely heavily on quantitative measures, with relationships among variables commonly shown by mathematical means.

3.2.2 Interpretivism

The following summarise interpretivist paradigm in terms of its, ontological, epistemological and methodological assumptions. In ontological terms, interpretivist assumes that reality as we know it is constructed inter-subjectively through meanings and understandings developed socially and experientially. Interpretivists believe that human experience (the subjective) is as important as in positivists emphasis on explanation, prediction and control (Holloway, 1997; Baker and Pistrang, 2005). In other words, they believe that it is only through the subjective interpretation of an intervention in reality can that reality be fully understood. Epistemologically, interpretivism assumes that we cannot separate ourselves from what we know. The investigator and the object of investigation are linked such that who we are and how we understand the world is a central part of how we understand ourselves, others and the world (Crotty, 1998 and Lynch, 2005). Methodologically on the other hand, interpretive approaches rely heavily on naturalistic methods of interviewing, observation and analysis of existing texts. Although interpretivism emphasise the subjective, it nonetheless still retains

the ideals of researcher objectivity, and researcher as passive collector and expert interpreter of data.

3.2.3 Participatory Inquiry Paradigm

The Participatory Inquiry Paradigm is the third of the paradigms considered for this study and is fully and critically discussed in the next section, where justification for its choice and use for this study are made. The following, in the meantime are the summary of its ontological, epistemological and methodological assumptions. In ontological terms, the participatory paradigm emphasises holism and unity of the natural and social world. Whilst recognising that the outer world is objectively given, it is however subjectively represented. As Torbert et al (2001) put it, participatory ontology treats the role of subjective experience in research as essential, and looks to the research process as a means of addressing the split that exists between knowledge, experience and action. Epistemologically, the participatory worldview believes that there are four ways of knowing, namely: experiential knowing, presentational knowing, propositional knowing and practical knowing. In methodological terms, the participatory worldview believes that through collaboration, research findings and definitions of reality are co-created – the primacy of practice and experience is emphasised (Breu & Peppard, 2003; Reason, 1998; Lincoln and Guba, 2000).

Table 3 below gives a comparison of the assumptions underlying the three research paradigms discussed thus far.

Table 3: Comparisons of assumptions underpinning positivist, interpretive and participatory inquiry Paradigms				
Issue	Question	Positivism	Interpretivism	Participative Inquiry
Ontology	What is the nature of reality	Reality is objective and singular, apart from the researcher	Reality is subjective and multiple as seen by participants in a study.	participative reality - subjective-objective reality, co-created by mind and given cosmos
Epistemology	What is nature of knowledge and the relationship between the knower and the would-be knower	Researcher is independent from that being researched.	Researcher interacts with that being researched.	critical subjectivity in participatory transaction with cosmos; extended epistemology of experiential, propositional and practical knowing; cocreated findings
Axiology	What is the role of value	Value free and unbiased	Value-laden and biased	Included; influence acknowledged
Rhetoric	What is the language of describing units	Formal and based on set definitions. Impersonal voice. Use of accepted quantitative words.	Informal; evolving decisions; personal voice; use of accepted qualitative words.	Informal, formal, personal, connotative and metaphorical
Methodology	What is the process of research	Deductive process – rigorous application of scientific method. Cause and effect	Inductive process; mutual simultaneous shaping of factors; emerging design - categories identified during reaserch process; context bound.	political participation in collaborative action inquiry; primacy of the practical; use of language grounded in shared experiential context

Source: adapted from Lincoln and Guba (2000)

3.3 Justification for the Choice of Participatory Inquiry Paradigm

⁶From the analysis made thus far of the interpretive, positivist and participatory inquiry paradigms, it is appropriate to make a choice of the paradigm suitable for this study. The choice is made in consideration of which of the paradigms is suitable for a study in the field of sustainable development. The choice is also made based on which of the paradigms' assumptions are congruent with my own personal assumptions, skills, experience, aims and objectives of this study. The choice of the appropriate paradigm is also a clear guide to the choice of the methodological approach adopted. For ease of reference, the aim of the study is concerned with the application of theory to practice. The study seeks ways of translating sustainable development aim and objectives into practical means in a local government setting. What therefore, is the most appropriate paradigm of inquiry to undertake this study?

There is increasing awareness that conventional paradigms such as positivism and interpretivism are limited in providing an understanding of the complexities inherent to societies, ecosystems, organisations, patterns of global change and sustainable development (Reason and Goodwin, 1999; Sandstrom 2002). This is because these paradigms, which the above authors called conventional science, are inconsistent with the ideal of moving towards sustainable development; it also fails to capture the interdisciplinary nature of sustainable development. It is equally static, "and many times too reductionist for assessing and addressing issues that deals with changes in the whole system" (Sandstrom, 2002: 3).

⁶ A fuller analysis of positivism, interpretivism and participatory inquiry paradigm is presented as an appendix (see Appendix B)

Allen (2001) acknowledges the inadequacy of a controlled approach of conventional science in capturing the richness and complexities of the ecosystem and environmental research. In arguing for an alternative approach to understanding natural resource management issues as in sustainable development, he posits that the latter is characterised not so much by problems for which an answer must be found, but rather by issues which need to be resolved and will inevitably require one or more of the parties to change their views. The underlying assumption of these approaches is that effective social change depends on the commitment and understanding of those involved in the change process. In other words, if people work together on a common problem 'clarifying and negotiating' ideas and concerns, they will be more likely to change their minds if their 'joint research' indicates such change is necessary. Also, it is suggested that collaboration can provide people with the interactions and support necessary to make fundamental changes in their practice which endure beyond the research process.

In light of these reasons, a new paradigm is required to address the shortfall of the mechanistic approach in satisfying the requirements of sustainable development theory.

Sandstrom (2002: 3) captures this succinctly when he wrote that

"we need to move towards a scientific philosophy, which emphasise a closer connection to real life problems. Science that attempts to understand issues related to sustainable development has to highlight the contradiction and conflicts that characterize the process of change. Science can not be carried out in isolation; it needs to be carried out in the interaction with human beings and natural processes under study. Humans always interact with each other and with the environmental surroundings as well with the investigator (researcher). An exclusion of these relationships might create distortions in research findings and their meaning might partly be destroyed. If people being researched do not understand and cooperate in the research process, findings from science (our universities) might also be obstructed rather than deliberating."

This new paradigm will allow for an approach that centres on people; democratically organised; responsive to the whole environment, not only the ecological and the economic, but also the political, social, and cultural; and balanced, for example, between centre and periphery, between public and private, between the roles of men and women (Sato and Smith, 1993).

A Participatory Inquiry Paradigm can fill this void. Its epistemological and ontological basis are congruent with the theory of sustainable development, which puts human purpose foremost. The new paradigm draws on all human values – social, political, aesthetic and spiritual, as well as the economic and scientific – as criteria for success (Ibid).

From the analysis of positivist and interpretive paradigms and their associated methodologies (see also Appendix B) it is clear that they carry limitations. Although they have a long established history, and have their usefulness in other settings; they are nonetheless inappropriate in a situation where the principal aim of the research is to seek and effect change, and where research is carried out with the people who own the problem. According to Reason (1998), positivist and interpretive paradigms are western worldview, based on a “fundamental epistemological error that humans are separate from each other and from the natural world” (Ibid: 147). Skolimowski (1994: 136), calls this “ecological devastation, human and social fragmentation, spiritual impoverishment.”

In determining whether the underlying assumptions of participatory worldview are congruent with mine, based on my life experiences, skills and outlook in life, I made the following assumptions. In ontological terms, I assumed that the reality of inquiring into

whether the theory of sustainable development permeated the development of the *Havering Community Strategy* and the policies contained within the strategy document, will be the product of my consciousness and that of the stakeholders in the development of the strategy. This is reflected in the partnership approach involved in the development of the policy document. Since the partnership is made up of various stakeholders who are involved in the preparation of this study as interviewees and my involvement as a participant, means that their, as well as my interpretation of what transpired will be the 'reality' of our situation for the task.

Epistemologically, I assumed that while some information acquisition can come from others, it is only by experiencing the learning in person that valuable knowledge is generated at a personal level. Equally, I assume that whilst external features will have some impact on us, we are able to create our own interpretation of our social environment. In epistemological terms, I interacted with that which is being researched. I engaged closely with the sources of data and personally developed the models to answer the research questions. The question of independence does not apply in this study, as I assessed the results of the design processes based on my own experience, reactions and opinions. The latter is a valid research approach. To balance this approach, I employed methods of triangulation.

The implication of this, from an axiological perspective, is that there are biases stemming from myself as the researcher, and data from other sources. These issues are addressed through reflexivity. From rhetorical point of view, the language employed in the evaluation of the data models is qualitative, subjective and personal. The study involves

small sample users, rather than large samples, and the result of my contacts with others and my own opinion are both qualitative and subjective.

In comparing the assumptions under positivism, interpretivism and participatory inquiry paradigms with my own assumptions, I have been guided in my choice of the appropriate paradigm for this study. Of the three paradigms explored, the participatory inquiry paradigm appears to fulfil the aim and objectives of this study, which is principally concerned with seeking and effecting change in a professional practice. It is also in congruence with my philosophically beliefs and assumptions, in that it allows me to deal with a social situation in which I as an individual interpret for myself the meaning of the experiences that I have and had in the preparation of the *Havering Community Strategy*. Participatory inquiry paradigm also allows for participation of other partners so that shared interpretations are developed. From the analysis of positivist and interpretive paradigms conducted, although they have a long established history and have their usefulness in other settings; they are nonetheless inappropriate in a situation where the principal objective of the research is to seek and effect change.

Bawden (1991: 33) captures this better when he wrote that

"if one wants to find out about the plant nutrient which is limiting growth to such an extent that there is no obvious pathology in its absence then the research needs to conduct experiments under rigorously controlled environmental conditions. The experimenter cannot participate with the nutrients in their 'dance in plant nutrition, nor is it sensible to examine the effects on the 'dance' of a multitude of factors working at once. The experiment must be conducted in a reduced and highly controlled world observed from afar by the observer! If, on the other hand one wants to actively explore with rural communities how they might design their own, more sustainable futures, then the method of enquiry needs to be participant-observer and the complexity of the situation must be embraced. There is no other sensible way to proceed."

Although, the research approach is based on participatory inquiry paradigm, as described above, however, certain aspects of the study involve a positivistic approach, as only few studies can lay claim to one predominant approach, either participatory inquiry, interpretive or positivist paradigms. Despite the use of positivistic methods in certain aspects of the study, overall, the study is based primarily on participatory inquiry paradigm.

3.4 Research Methodology

In the previous section, justification was made for the use of a participatory inquiry paradigm as the most appropriate research paradigm for this study. This justification was reached after considering alternative paradigms such as interpretivism and positivism. This section on the other hand reviews the relevant literature on the methodology appropriate for this study. Since one of the guiding criteria for the choice of a methodology for a research work is dictated by the paradigm of inquiry employed, action research was therefore chosen in this study as the appropriate methodological match for a participatory inquiry paradigm. The decision for the choice of action research was reached after considering two other contending methodologies for their suitability.

This section, meanwhile, reviews the relevant literature on action research methodology - with justification provided for its application later in this chapter. However, two other methodological approaches, which are discussed below are briefly reviewed to explore their suitability for the study. They are, ethnographic and case study methodologies.

3.4.1 Ethnographic Methodology

Dayton et al (2002), identify two types of ethnography, namely, descriptive or conventional ethnography and critical ethnography. The former focuses on the description of communities or groups and, through analysis uncovers patterns, typologies and categories. Critical ethnography, on the other hand, addresses the study of macro-social factors such as power, and examines common sense assumptions and hidden agendas (Ibid, 2002).

The history of ethnography as a methodology dates back to the 1920s and 1930s, when anthropologists such as Malinowski, Boas and Mead pioneered its use (Hollway, 1997; Dayton et al, 2002). There is also a consensus in the literature that the ethnography methodology is the oldest of the qualitative methods, having been in existence since ancient times. According to Holloway (1997), Denscombe (2007), Denzin et al (1998), and Davies (2007), as well as being the oldest of the qualitative methods, it is particularly used by anthropologists to study cultures in foreign land. Malinowski and Boas were the first to use the methodology to explore non western cultures and the ways of life of people within them, whilst searching for cultural patterns and rules (Holloway, 1997). The image of anthropologists employing ethnographic methodology is often that of western researchers living with tribal groups or cultures in order to capture and record their cultural practices for posterity (Dayton et al, 2002).

Whilst Dayton et al indicate that ethnography is predominantly used by anthropologists in the developing world, Gill et al (2002) and Hodgson (2000) do however contend that there is evident of its use in contemporary settings, in the developed world. This claim is

supported by Devaul (1990), who asserts that ethnographic approaches have been associated with both feminist research and studies of individuals in relation to occupation (Woods, 1993). The Chicago School of Sociology⁷ had an influence on later ethnographic methods through its members' studies of subcultures such as the slums, ghettos and gangs in US cities (Dayton et al, 2002).

In whatever setting it is used; however, ethnography is concerned with the observation and description of the social behaviours of a group within either a setting, organisation or community (Pole et al, 2002).

There is agreement in the literature that ethnography's unique features include, but are not limited to, its description of the details of social life or cultural phenomenon in a small number of cases and, where data gathering is through participant observation and, in which the researcher lives with the native culture or the phenomenon under investigation (Remenyi et al, 1998; Smith, 1999 and; Bryman, 2004). As well as their use of participant observation to gather data, they also rely on open-ended questions and any available documents that might be available in the setting. It is worth noting that researchers using this approach usually spend a considerable amount of time with their subject of investigation. They equally participate in local daily life of their subject, carefully observing everything they can about it.

⁷ In sociology and, later, criminology, the Chicago School (sometimes described as the Ecological School) refers to the first major body of works emerging during the 1920s and 1930s specialising in urban sociology, and the research into the urban environment by combining theory and ethnographic fieldwork in Chicago, now applied elsewhere. While involving scholars at several Chicago area universities, the term is often used interchangeably to refer to the University of Chicago's sociology department—one of the oldest and one of the most prestigious' ([http://en.wikipedia.org/wiki/Chicago_school_\(sociology\)](http://en.wikipedia.org/wiki/Chicago_school_(sociology))).

Whilst Bryman (2004) suggests that ethnographers approach to data interpretation is equally unique in that they interpret their data from the point of view of their subjects. Woods (1993) and Devaul (1990), on the other hand, call this unique data interpretation an epic perspective. Denscombe (2007), however argues that an epic approach to data interpretation poses a challenge to the ethnographic methodology. This is on the believe that the conceptual tools the ethnographer use to understand the cultures or events being studied are not, and can never be neutral and passive instruments of discovery (Ibid, 2007).

Ethnographic research may be both qualitative and quantitative, however, in people-focused approach, it is usually qualitative. Hussey et al (1997) contend that it is a phenomenological methodology which stems from anthropology. This position, however, does not make its philosophical underpinning any clearer. Is it an appropriate match for a study which seeks change and with leanings towards participatory inquiry paradigm, such as in this study? Hammersley's (2002: 65) view on this question provides a justification for its unsuitability in a study which seeks change in a professional environment, when he contends that there is a "strong anti-philosophical strand in ethnographic thinking that places value on the practice and products of research and has little patience with or interest in discussion about research." Hodgson (2000) and Sanger (1996), on the other hand, contend that ethnographers tend to reject the positivistic approach, which asserts that physical science (the logic of the experiment) and the demonstration of social laws should be the basis for the social sciences. Ethnography, therefore rests more comfortably within the naturalist approach, in which the world should be examined in its 'natural' state, and in which the researcher should adopt an attitude of 'respect' or 'appreciation' for the social world.

The typical philosophical model for ethnographic research is based on a phenomenologically oriented paradigm, according to Lao-tzu (undated). The latter paradigm embraces a multicultural perspective because it accepts multiple realities. "People act on their individual perceptions, and those actions have real consequences, thus the subjective reality each individual sees is no less real than an objectively defined and measured reality. Phenomenologically oriented studies are generally inductive; they make few explicit assumptions about sets of relationships."

There are a number of disadvantages associated with using ethnography as a methodology. In Myers' (1999) view, one of the disadvantages of using the methodology is that it takes a lot longer than other qualitative methodologies to do the fieldwork, as well as to analyse the material. Other problems associated with using this methodology are similar to those identified in action research, namely that: it is not replicable, in that it concentrates on one organisation or culture (Remenyi et al, 1998). However, the most difficult issue relates to coping with the dual role of being a full-time member of the group being studied as a participant observer, whilst also conducting the research. Is case study methodology immune from these problems? The section below reviews this methodology to examine whether it is fit for use in this study.

3.4.2 Case Study Methodology

The earliest use of case study methodology can be traced to Europe, particularly in France; although the methodology has been mostly associated having its modern origin in the Chicago School in the US (Tellis, 1997). There is, however, no single definition of case studies in the literature reviewed, however, the common thread in some of the

sources consulted (Yin, 1994; Holloway, 1997; Gillham, 2000 and Hussey, 1997) is that it deals with the examination of a phenomenon in its natural setting by employing multiple methods of data collection to gather information from either one or a few sources. This can be from people, groups of people, an organisation or organisations. As Yin (1984: 23), puts it, case study is used “when the boundaries between phenomenon and context are not clearly evident.”

Case study is considered a viable research methodology when a study is seeking to focus on investigating an issue in depth, and where explanations are sought that can cope with the complexity and subtlety of real life situation (Denscombe, 2007). Features of a case study methodology as described by Robson (2002: 89), are:

- Selection of a single case (or small number of related cases) of a situation, individual or group of interest or concern;
- Study of the case in its context;
- Collection of information via a range of data collection techniques including observation, interview and documentary analysis.

Yin (1994), on the other, hand identifies the following as the basic characteristics of a case study research:

- as well as aiming to explore certain phenomena, a case study research also aims to understand these phenomena within a particular context;
- the research seldom begins with a set of questions and notions about the limits within which the research will take place;

- various methods, which may either be qualitative or quantitative are employed in data collection.

Remenyi (1998), reinforced the latter, by stating that because of its flexibility, a case study may be an almost entirely positivistic or almost entirely phenomenological study or anything between these two extremes. This is further supported by Holloway, (1997), who affirms that there are no specific methods of data collection or analysis in case study research. Analysis of case study involves the same technique as other qualitative methods.

Clearly, a case study approach is favoured in research that attempts to focus on contemporary events or phenomenon in a natural setting. Case study research will also be appropriate in theory building research, where a strong base for theoretical research is lacking. A distinct characteristic of case study research according to Gillham (2000) is that a researcher does not need to start with *a priori* theoretical notions (whether or not it is derived from the literature). Theories are generated from the data collected. Benbasat et al (1987: 375) go on to state that “a rich and natural setting can be fertile ground for generating theories.” According to Hussey (1997) case studies can be used to generate new theories where few exist, they are referred to as being exploratory research,. These types of studies are generally better served by single cases, that is, where there is no previous theory.

This however, gives the impression that case studies are predominantly exploratory in nature, and can only involve single cases. This could not be further from the truth, as they can equally be descriptive, illustrative, experimental and explanatory (Hussey, 1997) quoting from Scapens (1990). Some of these variations can be best served by employing

multiple cases. This is because they can better achieve generalisability and validity for a piece of research.

The weakness associated with case studies is similar to that identified in ethnographic studies. They are both typically restricted to a single organisation, and it is difficult to generalise findings from them, since it is hard to find similar cases with similar data that can be analysed in a statistically meaningful way. Equally, different researchers may have different interpretations of the same data, thus adding research bias into the equation. The other pertinent question relates to whether case study methodology is an appropriate match for the study's chosen paradigm, in light of its perceived weakness identified overleaf. The next section reviews action research as a third potential methodology. This review will complete the evaluation of the competing methodologies that could be employed in this study and identify which best supports the paradigm of inquiry.

3.4.3 Action Research Methodology

Skolimosksi (1994), Dick (2000), Kemmis and McTaggart (2000), Allen (2001), Greenwood (2000) and, Sandstrom (2002) offer sound arguments for using action research in sustainable development and environmental studies.

The origins of action research are unclear within the literature. However, a number of authors, including Kemmis and McTaggart (1998), Zuber-Skerritt (1992), and Holter and Schwartz-Barcott (1993) state that action research originated with Kurt Lewin, an American psychologist. However, according to McKernan (1991), there is evidence of the

use of action research prior to Lewin, particularly by social reformists such as Collier (1945), Lippitt and Radke (1946) and Corey (1953).

Master (2000: 1), wrote that 'despite the clouded origins of action research, Kurt Lewin, in the mid 1940s constructed a theory of action research....This construction of action research by Lewin made action research a method of acceptable inquiry.'

There are many definitions of action research, as espoused by different authors. Three of these definitions are outlined as follow. McCutcheon and Jung (1990: 148) describe action research as a "systemic inquiry that is collective, collaborative, self-reflective, critical and undertaken by participants in the inquiry." Kemmis and McTargert (1990: 5) define it as "a form of collective self-reflective inquiry undertaken by participants in social situations in order to improve the rationality and justice of their own social or educational practices, as well as their understanding of these practices and the situations in which these practices are carried out." It contributes "both to the practical concerns of people in an immediate problematic situation and to the goals of social science by joint collaboration within a mutually acceptable ethical framework" (Rapoport, 1970: 499).

Taking all these definitions together, they have something in common, as they all concur that it is an approach to research "that is based on a collaborative problem-solving relationship between researcher and client which aims at both solving a problem and generating new knowledge" (Coughlan and Brannick, 2001: 4). This is congruent with the participatory worldview which advocates participation in research process. In this worldview, a co-operative approach is encouraged between the subject and the object.

Carr and Kemmis (1986) also capture this in their writing by stating that the action research methodology is a form of self-reflective enquiry undertaken by participants in social situations in order to improve the rationality and justice of their own practices, their understanding of these practices, and the situations in which the practices are carried out. Action research is useful in a situation where change and understanding are sought, particularly on occasions where it is difficult to control variables due to the complexity of events (Dick, 1995; Susman, 1983).

The belief that knowledge is derived from practice, and vice versa, and that this relationship is an ongoing process is a cornerstone of action research. In action research the notion of researcher neutrality is absent, on the belief that the researcher is often the one who has most at stake in resolving a problematic situation (O'Brien, 1998). Dick (2000) identified four key elements of action research, which a number of authors (Zuber-Skerritt 1996; Carr and Kemmis 1986; Winter 1987; McNiff 2002; Heron and Reason 1997) also acknowledged as critical in action research.

Action research is cyclic or spiral in structure, meaning that, an action research study starts with a planning phase, and then followed by action before a review takes place at the last stage of this cycle. This approach ensures that steps in action research study recur in similar order, at different phases of the study. This then leads towards appropriate action and research outcome. The cyclic nature of action research also provides confidence in the outcome of the research, in that throughout the process there is continuous checking and refining of data and interpretations. This cyclic approach thus provides the rigour and validity in action research. The way this rigour and validity is established according to Dick (1995a) in Roberts (1997) is through:

- collecting and interpreting data in each research cycle before testing both data and interpretation in later cycles;
- actively seeking to disconfirm emerging interpretations in each cycle;
- critiquing and refining methods of reflection and action in each cycle; and
- seeking out divergent data to challenge other data already collected.

Action research encourages participation of the researcher and that being researched. It is participative in that the clients and informants are involved as partners, or at least active participants, in the research process. Although, the extent of participation may vary, for instance, in some situations there may be a genuine partnership between the researcher and others. As the research progresses, the distinction between the researcher and others may disappear. This does not negate the fact that on other occasions the researcher may choose for various reasons to maintain a separate role. In other instances, participation may be limited to just being involved as an informant; and participants may equally choose something less than full partnership for themselves under some circumstances (Bob, 2000).

The qualitative nature of action research has also been identified by the above authors. However, some action research use a mixture of qualitative and quantitative techniques, as in some cases, the use of numbers may be warranted or more appropriate. The preference in favour of qualitative approach in action research offers a greater opportunity for flexibility and responsiveness.

The last feature identified in action research is its reflective nature. Critical reflection takes place throughout the research process, at the end of each cycle or at the end of the

research process. As Coughlan and Brannick (2001: 31) put it, critical reflection "is the critical link between the concrete experience, the interpretation and taking new action.....It is the key to learning as it enables you to develop an ability to uncover and make explicit to yourself what you have planned, discovered and achieved in practice." As well as undertaking a critical reflection as part of the action research cycle, there is also reflexivity. This involves the engaging in reflection on the nature of the researcher's involvement in the research process, and the way this shapes its outcome.

Action research shares a number of perspectives with interpretive paradigms, and makes considerable use of its related qualitative methodologies. However, some researchers feel that neither the interpretive nor positivist paradigms have sufficient epistemological structures under which action research can be placed (Lather, 1986 and O'Brien, 1998 in Morley, 1991). Rather, a participatory inquiry paradigm is seen as where the main affinities lie.

Action research is about research and action. It defers from the traditional research approaches which advocate a split between research and action. Coughlan and Brannick (2001) sum this up, when they stated that in traditional research approach, research findings and theories can serve as the basis for recommending future action. In conducting their research, traditional researchers using hypothetico-deductive approach conduct research that meets the rigour of normal science but is disconnected from everyday life (ibid). Action research rejects 'both of the institutional traditions which propose grounds for its activities: action research rejects the tradition of scientific research, by invoking as a central principle the need for practical effectiveness at the level of mundane activity; and it rejects the tradition of mundane practice, by invoking as a

central principle the scrutiny of practical judgments by means of research' (Winter, 1987: 1).

Action research advocates the interdependence of theory and action. In other words, theory contributes to action and vice versa. Greenwood and Levin (2000) argue that social change orientated research in the form of action research is the form social research must take in order to achieve valid results and bring about useful social change. Their argument is that academics employing traditional research approaches, particularly positivists, socially disengaged with the wider society outside of the academic world. As they put it, 'they select their problems according to the intellectual and professional agendas of the most prestigious members of their disciplinary organisations, not in response to needs defined by people outside of academia. As they pursue their studies and refine their methods, there is little chance that their actions will affect most non-university people or that their work will upset the holders of power outside of academia. (ibid: 92).

Although the features of action research identified above are able to generate positive outcome for this study; it is however recognised that it is difficult to replicate the outcome of the study in other settings. This is because the outcomes have local rather than universal relevance, unlike in hypothetico-deductive research, where there is greater potential for generalisability. This however is the trade off feature of action research, as identified by Dick (1993). Other authors such as Susman (1983), Kemmis (1990) and Zubert-Skerritt (1990) also acknowledge this trade off, which they consider enough justification for carrying out an action research, in so far as it fulfils the purpose of providing change in local situations. The authors also agree that in a complex and changeable local situation, the flexibility and responsiveness of action research outweigh

trade offs identified previously, because it produces understanding and change (Robert, 1997). The aim of this study is to seek change in a professional environment – a local government setting - in the area of sustainable development. The study is therefore concerned with the application of theory to practice, and action research is deemed appropriate in achieving this aim.

Although, this study is done along action research lines, it nonetheless uses a multi-faceted research method. This is because it provides the flexibility to include other research methods, such as survey, usually attributed to positivistic research. There are researchers who have advocated a multi-faceted research approach. These are researchers such as Harre (1993), and Lave and Wenger (1991). Others are House (1980), Angus (1992), Easley and Easley (1992), Kushner (1992), McLaren (1989) and Jackson (1968) in Wilkinson (1998).

The best that this approach could hope to achieve is a view of 'what is.' It does not engage the subject in any way that would influence their behaviour (Albury, 1983 in Wilkinson, 1998).

3.5 Justification for the Choice of Action Research Methodology

The choice of participatory inquiry paradigm very much dictated the choice of the research methodology for this study. Methodologically, action research sits well with this new paradigm in developing an understanding of sustainable development. This is because it seeks to influence the phenomena being studied during the action research process itself, in the belief that the true nature of social systems (social, cultural and

institutional considerations) become most evident when you seek to make changes to them (Allen, 2001). Action research is also congruent with the participatory worldview, which seeks to research with people instead of people. Within this worldview “worlds and people are what we meet, but the meeting is shaped by our own terms of reference” (Heron 1996a: 110). This provides a process that helps transform thinking and actions for sustainability.

On a personal note, as a researcher, I am more comfortable with a research methodology that allows me to deal with a social situation in which I as an individual interpret for myself the meaning of the experiences that I have and had, particularly, in the preparation of the *Haverling Community Strategy*.

The choice of action research methodology was also aided by one of the aims of this study, which is an attempt at seeking and effecting change in a professional practice. Of the other research methodologies I explored, action research methodology fits my needs as explained above. This is because action research is most appropriate where the emphasis is on seeking change. Dick (1995) and Susman (1983) captured this more succinctly when they wrote that action research is useful in a situation where change and understanding are sought, particularly on occasions where it is difficult to control variables due to the complexity of events.

The decision to pursue this inquiry along action research lines is also based on the fact that it is congruent with the theory of sustainable development. The latter seeks change in peoples behaviours towards a more sustainable way of life harmonious to the environment.

A study of this kind, with its focus on holistic analysis and synthesis, is in need of a different methodological approach from most studies in the field of social sciences. It is a study that relies, in the absence of physical testing and analysis, almost entirely on the intellectual and conceptual resources of the investigator, and on conceptual tools to ensure rigour, validity and accuracy. The methodology must therefore account for the evolution and conclusions of the study, which action research provides.

A number of authors, namely, Greenwood and Levin (2000), and Kemmis and McTaggart (2000) offer sound arguments for using action research in sustainability. The former believes that sustainability is interdisciplinary and relevant to all professions. Action research is thus congruent with this new paradigm, as it provides a process that helps transform thinking and actions for sustainability. Furthermore, action research produces more than a research document. It results in catalytic change for sustainability. Whilst action research's key outcome is ongoing change for sustainability, it nonetheless still seeks valid and rigorous research. It is also "a learning process, the fruits of which are the real and material changes in: a) what people do; b) how they interact with the world and others; c) what they mean and what they value; and d) the discourses in which they understand and interpret their world" (Kemmis and McTaggart, 2000: 596).

Action research also allows for participation of other partners, so that shared realities are developed. Other research methodologies explored in Chapter Three which are congruent with the attributes of positivist and interpretive paradigms are however inappropriate in a situation where the principal objective of the research is to seek and effect change, as in this study.

Action research is used in real situations, rather than in contrived, experimental studies, since its primary focus is on solving real problems. It can, however, be used by social scientists for preliminary or pilot research, especially when the situation is too ambiguous to frame a precise research question. Mostly though, in accordance with its principles, it is chosen when circumstances require flexibility, the involvement of others in the research, or change must take place quickly or holistically.

It is often the case that those who apply this approach are practitioners who wish to improve understanding of their practice, social change activists trying to mount an action campaign, or, more likely, academics who have been invited into an organisation (or other domain) by decision-makers aware of a problem requiring action research, but lacking the requisite methodological knowledge to deal with it (O'Brien, 1998).

As Dick (2000) wrote, the increasing use of action research within environmental research and development initiative recognise that natural resource management issues (such as biodiversity protection and enhancement) are not characterised so much by problems for which an answer must be found, but rather by issues which need to be resolved and will inevitably require one or more of the parties to change their views. The underlying assumption of these approaches is that effective social change depends on the commitment and understanding of those involved in the change process. In other words, if people work together on a common problem 'clarifying and negotiating' ideas and concerns, they are more likely to change their minds if their joint research suggests such change is necessary. Also, collaboration can provide people with the interactions and support necessary to make fundamental changes in their practice which endure beyond the research process.

Similarly, exploring the social process of learning about situations is inextricably linked with the acts of changing those situations (Dick, 2000). Certainly surveys and other social research results are useful, but so is information on why different people see things as they do, and the political relationships between stakeholders. It is by bringing these aspects into the open and stimulating debate between the different groups through action research approaches that the social parameters — so neglected in most analyses — are brought into the process (Bosch et al. 1999). Thus, the action research approach seeks to influence the phenomena being studied during the action research process itself, in the belief that the true nature of social systems (social, cultural and institutional considerations) become most evident when you seek to make changes to them.

I was drawn to action research as a methodology because of the features addressed above. The methodology is also most appropriate for this study because:

- My facilitation of the development of *Havering Community Strategy* was a real concrete social situation in which variables were difficult to control;
- The cycles of action and reflection provide for data collection and interpretation of the experiences by all participants in the study;
- The reflection phases will enable me to develop understanding and respond with actions that will enhance the understanding of facilitation and sustainable development strategy development;
- Phases of action research methodology will enable me to determine ways in which I could seek disconfirming evidence and challenging data;

- Action research cyclic nature will enable me to identify and implement action to change and enhance ways of incorporating sustainable development principles into the development of *Haverling Community Strategy*; and
- It will also provide for flexibility in response to emergent issues and learning outcomes and permits me to use my data and its interpretation to choose future action for testing (adapted from Roberts, 1997).

One of the most simplified and easy to apply forms of action research is that developed in 1992 by Zuber-Skerrit (1995), where the core of the action research process is based upon a spiral of cycles of action and research consisting of four phases (see Figure 2). These are planning, action, observation and reflection. *Planning* consists of analysing a complex situation and developing a strategic action plan. *Action* is implementing the plan - the practical testing phase. *Observing* is the monitoring of the action taken, and finally, *reflecting* - the process of reflectively evaluating the results over the whole action research process. The final stage of reflecting is perhaps the most critical part in the process, as it allows for continual refinements. In this process there is a continuous improvement of practice and extension of both personal and field knowledge. It is this model that builds the basis of the overall model depicted in further sections.

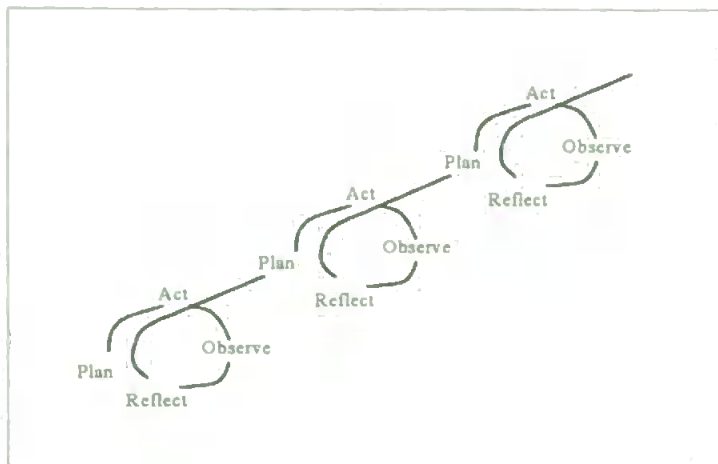
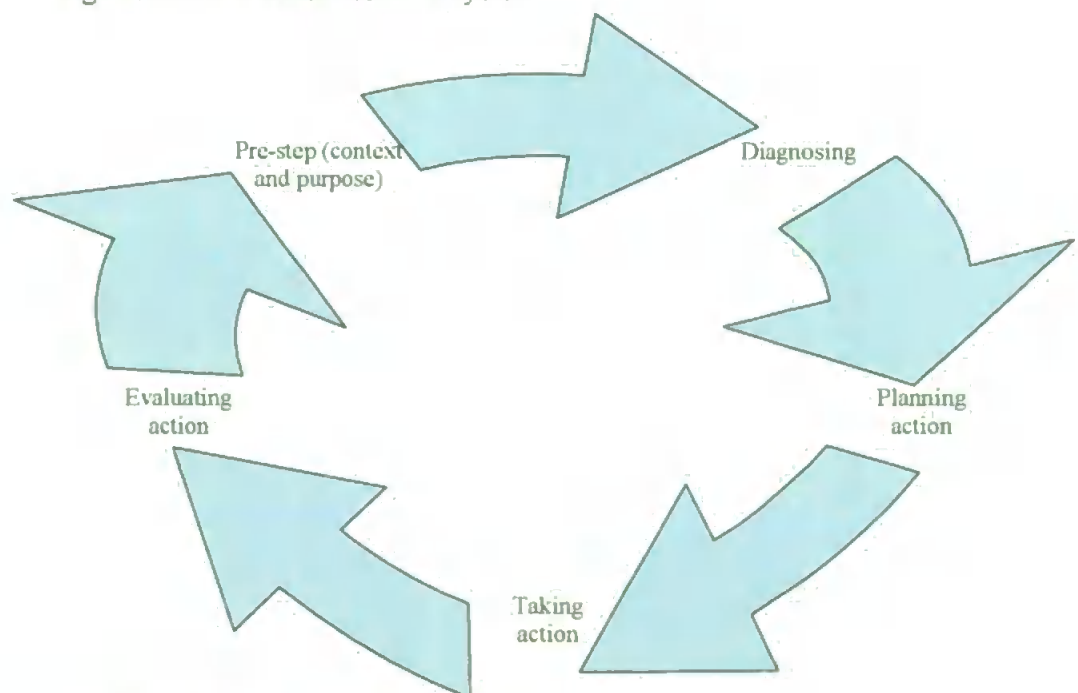


Figure 2: A three-action research cycle with increasing knowledge as the process continues. (Source: adapted from Zuber-Skerritt, 1995)

Coughlan and Brannick (2001) suggest a similar but slightly different action research cycle to the Zuber-Skerritt's approach above. They widen the scope of the cycle by including a pre-step, context/purpose, and four other basic steps of diagnosing, planning action, taking action, and evaluating action as in Figure 3 below.

Figure 3: A five-action research cycle



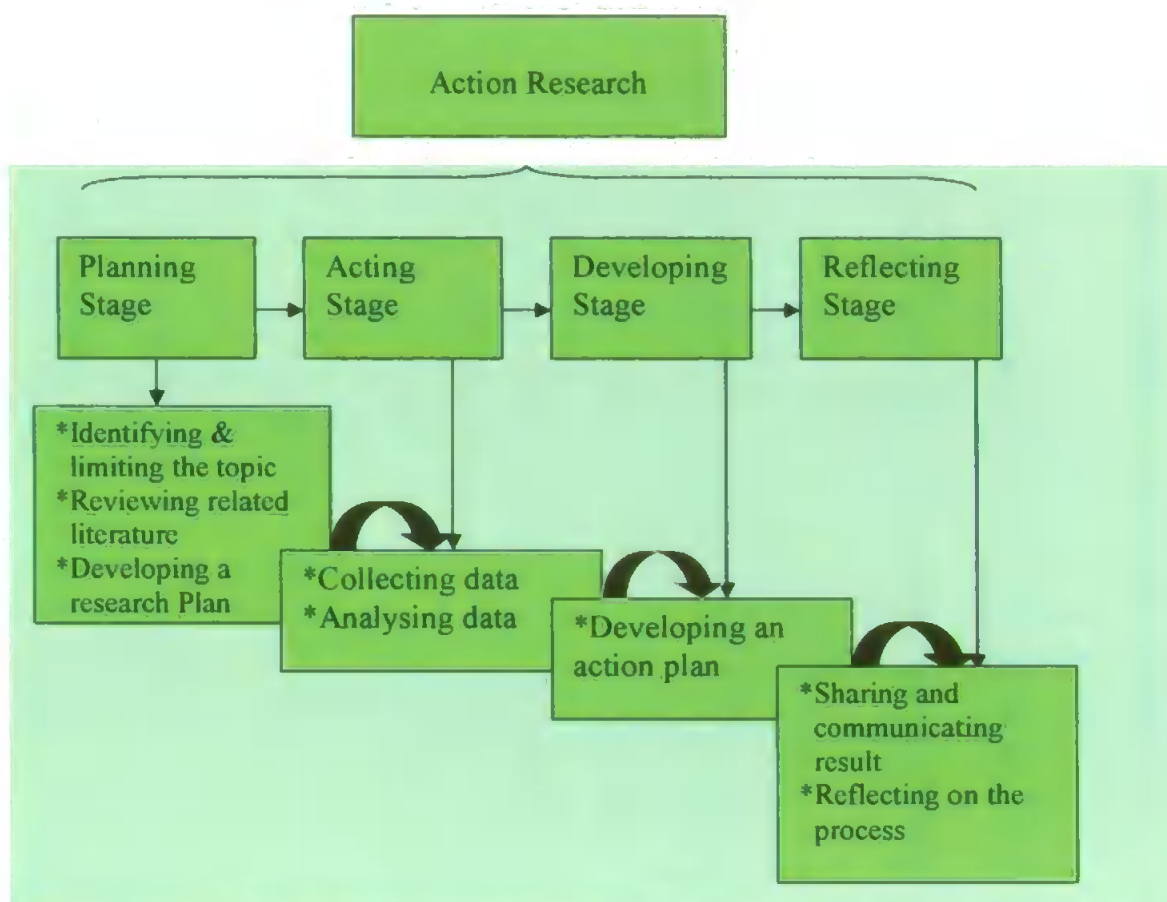
Source: adapted from Coughlan and Brannick (2001)

In pre-step, an understanding of the context of the project begins. Here the question of why the study or the project is necessary or desirable is asked. Once this has been established, the four step action research cycle begins, as described in Zuber-Skerritt (1995) above.

Although, this study will be done along naturalistic, action research lines, it will nonetheless use a multi-faceted research method. This is because it will provide the flexibility to include other research methods, such as survey, usually attributed to positivistic research. There are researchers who have advocated a multi-faceted research approach. These are researchers such as Harre (1993), House (1980), Lave and Wenger (1991), Angus (1992), Easley and Easley (1992), Kushner (1992), McLaren (1989) and Jackson (1968).

3.6 My Action Research Cycle

Figure 4: A four-action research cycle



Source: adapted from Mertler, 2006

In this study, I will use an adapted form of Coughlan and Brannick (2001) action research cycles. Although, there was a pre-step phase in my action research cycle, however, the action research for this study began at the planning stage, as in Figure 4 above. This stage was where an understanding of the context of the study began. Here, the question of why the study was necessary or desirable was asked and established. This stage began in year 2000, when as part of my yearly Personal Development and Performance Appraisal (PDPA) process; I approached my employer, (through my line manager, who at the time was the Head of Regeneration and Strategic Planning) and expressed my interest in

pursuing a doctorate degree at Ashcroft International Business School, Anglia Polytechnic University (APU) in the area of sustainable urban regeneration. This is relevant to my work, as a Principal Regeneration Officer (Strategy). In the latter post, I had responsibility for co-leading the development of the *Havering Community Strategy* and other strategy documents in economic development and regeneration.

The reason given for my interest was on the grounds of career development and also to seek change within the department on how to engage in the development of strategy and policy development that incorporate the aims and principles of the Council's sustainable development agenda. My interest in sustainable development dates back to 1997, when I embarked on an MPhil Town Planning degree course at the University College London, specialising in sustainable development and transport. This interest also led to a job with the Strategic Development Unit of the London Borough of Greenwich, where I was involved in reviewing their Unitary Development Plan (UDP) in 1999, for the incorporation of sustainable development aims and objectives.

My background in sustainable development thus equipped me well to be able to determine why the study was necessary or desirable for the London Borough of Havering, in light of its statutory obligation, through the *Local Government Act 2000*. This Act mandated local authorities in England and Wales to develop in partnership with its stakeholders, a comprehensive and a holistic Community Strategy, which the government sees as a way of local authorities' contributing to the sustainable development agenda.

My perception from the start of my role as a regeneration officer, charged with the responsibility of co-leading the development of the *Havering Community Strategy*, was

that, the approach adopted in its preparation was in line with the aims of the sustainable development agenda, albeit in an *ad hoc* and an add-on way. My next approach therefore, was to highlight this problem, in my yearly 'Personal Development and Performance Appraisal' (PDPA), with the Head of the Unit, whose agreement I secured to pursue the issue as a subject of my study. It was agreed at this stage that the findings of the study would be taken onboard to effect change where required.

The planning stage of my action research continued with the firming-up of the preliminary discussion and negotiations with the senior management within the Regeneration and Strategic Planning Unit. At this stage, an offer of a place on the Doctorate in Business Administration (DBA) programme had been made by the APU. I had equally secured the backing of the management of my Unit to pursue the study. I had now selected my action research group (as described in Section 3.5.1 on selection of participants) from the key partners involved in developing the *Haverling Community Strategy*. This was in the summer of 2001. I had a fuzzy idea of the issues to explore as part of the study. This is one of the attributes of action research methodology. Dick (2000), described this when he wrote that "you can begin action research by asking initially fuzzy questions using initially fuzzy methods, thereby gaining initially fuzzy answers. You may then use those initially fuzzy answers to refine your methods as you proceed. To state it differently, research content and research process both develop as the research proceeds.

It was at this stage, around 2001 that I prepared the research proposal, which included statements of the questions to be answered. The proposal was approved at two levels;

firstly by the management at the London Borough of Havering, and subsequently by the APU, as meeting their requirements for a research degree study.

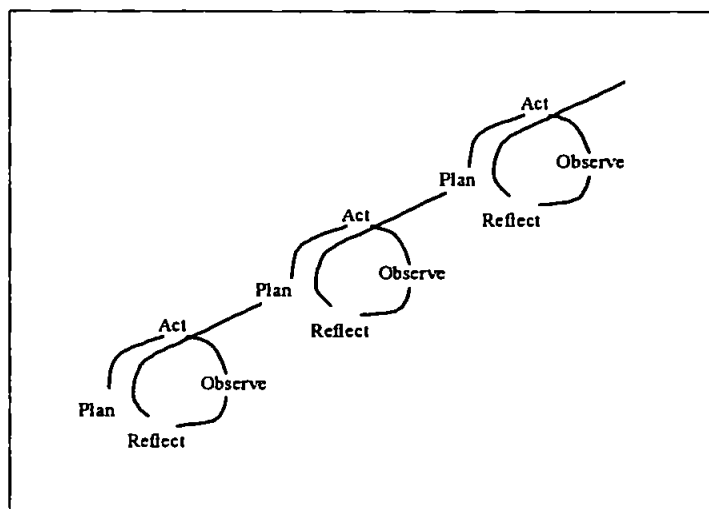
The stage described above continued as part of my planning stage of action research. This stage involved a range of actions, namely, a review of the relevant literature to find out what can be learned from other studies. Having started the study with fuzzy ideas, the literature review stage had begun to focus the study, hence a modification was made of the initial statements of the problem identified. It was also at this stage that the selection of research procedures was made – methods for data collection and data analysis. I had however had a fuzzy start on the methods of data collection from the start, which was later focused and firmed-up towards the end of the planning stage of my action research. Having determined the analysis procedure to use at the end of planning stage, the study moved on to the action stage.

In this second stage, the implementation of the study began with the setting of the condition for methods of data collection. The latter had begun in the previous stages, but due to the continuing refinement being made at the end of each stage of the action research cycle (particularly at the reflection stage of each cycle), later stages of the action research cycle were improved to further the study. The action stage presents patterns of results and analyses them for their relevance to the research issues. This led to the third stage of the action research which was the developing state. At this stage, the results of the analysis were used to develop the substantive theory for the study. Through ideas from a broad range of educational literature reviewed in Chapter Two on sustainability, sustainable development and globalisation theory; and the theoretical literature in Chapter Four, a supporting theoretical model for evaluating sustainability in plans at the local

government level was developed. An attempt was made to test, the *Haverling Community Strategy* and the policies contained within it against the theoretical framework/model developed. The result of this exercise is presented in Appendix A.

The final stage of my action research was reflection, in which recommendations and conclusions were made, including a reflection on the whole study experience. Each stage in the cycle described above did involve a further cycle of action research, as described by Zuber-Skerritt (1995), see Figure 5 below. This allows in each stage of my overall action research cycle, the opportunity to plan before acting, and reflect on the findings and the method after acting. The reflection at the end of each cycle feeds into the planning for the next stage of the cycle (Dick, 1997).

Figure 5: A three-action research cycle



Adapted from Zuber-Skerritt, 1995

3.7 Sampling and Methods

3.7.1 Selection of Participants

Miles and Huberman (1994) contend that it is important to explain and justify the steps taken in a research journey, in order to validate and replicate qualitative analysis. The research steps referred to here are the sampling techniques, data collection and data analysis. Mason (1996: 83), defined sampling as the “principles and procedures used to identify, choose, and gain access to relevant units which will be used for data generation by any method.”

In order to fulfil this requirement in this study, I used what Blaxter, et al (2001) described as non-probability purposive sampling to select the participants for the study and for data gathering. This is when researchers handpick supposedly typical or interesting cases. Maxwell (1996: 70) called this approach “a strategy in which particular settings, persons or events are selected deliberately in order to provide information that cannot be obtained well from other choices.”

The participants selected using the purposive sampling techniques are also my action research participants. As McNiff et al (2001: 55), claimed, action research is “participatory – action research is carried out by individuals, but individuals are always in company with others. Because they are investigating their work, and their work is always with others, they cannot do their research in isolation. They might do their research by themselves, but they are always in interaction with others in some way.”

This study represents an inquiry into the process involved in developing the *Havering Community Strategy* and also the policies contained within it, to establish whether sustainable development aims and objectives were met. As part of my action research, I involved four senior officers key to the development of the *Havering Community Strategy*. The officers are the Head of Regeneration and Partnerships (who approved my request to enrolment at Anglia Polytechnic University, to pursue the study. At a point, he was also my line manager). Other key officers are, the Regeneration Manager (Strategy and Resources) who was involved in co-leading the development of the *Havering Community Strategy* with me, and also my line manager mid-way through the development of the strategy document before his departure in mid 2003. The Regeneration Manager (Implementation) and Principal Regeneration Officer (Research) are also participants. The later was a co-researcher, mainly on the provision of statistical information, as it relates to the profile of Havering. The former participants were involved not as co-researcher (except in data collection and analysis at the focus group workshop) but as client/policy makers. Their involvement is through monthly one-to-one meetings, three monthly and six monthly PDPA, in which progress and findings of the study are discussed. They also provide useful insight into the phenomenon being studied through their participation in the interview I carried out as part of the study, and through the questionnaire survey done. However, towards the end of 2006, I expanded my action research group to involve the current Havering Strategic Partnership (HSP) Policy Co-ordinator. This was because of her role as the new lead in the development and co-ordination of the *Havering Community Strategy*, when my role had changed to become a project manager.

There are other participants whose roles were secondary in this study; these are other stakeholders involved in the preparation of the *Haverling Community Strategy*. Their involvement in the study was through the interview and questionnaire survey I carried out with them on their role and knowledge of the sustainable development theory, in the course of the study. Most of them remained committed and willing to be contacted for information through out the course of the study.

3.7.2 Data Collection Strategy

This study uses multi-faceted methods for data collection and analysis. This is because this approach provides the flexibility to include other research methods, such as survey (usually attributed to positivistic research). In this instance, the study benefits from the use of survey, not as the principal data collection method, but as a supporting method used in support of the semi-structured interview. Easterby-Smith et al (1991) call this approach of mixing methods a methodological triangulation. The latter is the incorporation of multiple methods and sources of information to crosscheck information and to strengthen the trustworthiness of data. Authors who have used this approach include but not limited to Elliott (1991), Mc Niff (1988), and Smith et al (1997). These authors contend that mixing methods prevent a research becoming method-bound. They reasoned that “the strength of almost every measure is flawed in some way or other, and therefore research designs and strategies can be offset by counterbalancing strengths from one another” (Easterby-Smith et al, 1991: 133).

This study deliberately employs the use of methodological triangulation to check for consistency of findings. As Newman and Benz (1998) stated, the more sources used, the

more likely the chance of getting a complete perception of the phenomenon. In other word, triangulation added “methodological heterogeneity” to the study (Patton, 1980: 109).

In this study, data collection and analysis were therefore accomplished using the following methods:

- participant observation;
- focus group;
- semi-structured interviews;
- questionnaire survey; and
- documentation (official policy documents, minutes of the *Haverling Community Strategy* Steering Group (HCSSG) meetings and memos).

Participant Observation

Hussey and Hussey (1997: 159) define participant observation as “a method of collecting data where the researcher is fully involved with the participants and the phenomenon being researched.” This is echoed by Patton (1990), when he wrote that in participant observation, the researcher experiences the phenomenon being studied. This is consistent with qualitative action research, as it allows reflexivity with its subjects.

As this is an action research study, in which I am involved (as a researcher) in the phenomenon being studied, participant observation is particularly appropriate to investigate the research question. I am enquiring into the process involved in the

development of the *Haverling Community Strategy* and the policies contained within it to establish whether the aims and objectives of the sustainable development debate are met. Using participant observation as a method afforded me the opportunity to gain an insight into the workings of the group involved in the strategy development. I also participated in the work of the group, as the co-lead in the process.

The period of observation started in 2000 and ended in 2003. However, I began further observation of the phenomenon under investigation in 2005 through to 2007, when the strategy document was being revised. The observations were carried out at the following events, focusing on the development of the *Haverling Community Strategy*:

- Bi-monthly meetings of the *Haverling Community Strategy* Steering Group;
- Workshops with stakeholders on the development of the Community Strategy;
- Meetings with the selected participants (previously discussed) during PDPA Sessions; and
- Day-to-day involvement in the phenomenon being studied.

My observations centred on the type of participants at the workshops, in terms of their socio-economic background, age group, ethnic background and their issues of interest; what was being discussed at meetings; and how the process of developing the Community Strategy was being handled. In order to obtain relevant and meaningful data during observation, I pre-categorised and structured my observation based on the issues and themes above. This technique saved time and it was very efficient at capturing data, particularly when the researcher has an idea of the type of data required. This is echoed by Blaxter et al (2001: 178), when they wrote that “pre-categorising and structuring your

observations can reduce time commitment dramatically, though at the risk of losing both detail and flexibility.” Losing detail and flexibility was not an issue in this case, as I was able to gather the data I set out to obtain, having had an idea of issues and themes to look for.

Blaxter et al (2001: 179) contend that “where the researcher’s focus is on a limited number of specific events...the observational technique shades into the experimental approach.” They however concluded that, if the observer is a key and active participant in the events being studied, the observational technique shades into action research. The latter applies in this study, as it is an action research study in which I actively engage, not only as a researcher but as a participant.

Through the process of participant observation, I investigated the phenomenon under investigation recorded as journal entries (Svirbel, 2007; Burton and Bartlett, 2005). My observation journal entries proved to be an invaluable method of providing the necessary contextual description of the process involved in developing the *HCS*. It also helped to explain the result of the partnership approach adopted in Havering. The iterative, reflective aspect of action research demanded that I become cognisant of what was happening, who was doing what, and the interpretation that followed the observed event (Svirbel, 2007). This was done to understand the larger picture or context of the study (Burton and Bartlett, 2005; Kincheloe, 2003). Observation journal entries helped me capture that “larger picture” on a regular basis.

By observing the context, I amassed data that led to rich description of the setting of the study. At each focus group event and at *Havering Community Strategy* Steering Group

meetings, I was very alert to events unfolding. In doing the latter, I recorded not only the event but the underlying causes for the observation. "Field notes are direct observation of what is being said and done as well as impressions or hunches of the observer" (Holly, 2005: 145). By investigating those impressions to find the rationale for the event, I could answer the "why" along with the objective examination (Svirbel, 2007: 64).

The field note journal was an important data source that helped confirm or disconfirm data from other sources I had gathered. My reflective journal was more than just a transcription of the facts, as I included a reflective account of what the context of the observation included, a valid approach for data collection according to Holly (2005). When these field notes were changed into text units, I used direct quotation from my journal entries to buttress and expand on the narratives of my analysis. I did not have to conceal information, such as demographic information that might have led the reader to identify the site of the study or any participant. This was because of the prior consent and knowledge of the partners at these occasions where the data were collected. The partnership was aware of the study and were participants. Table 4 represents a sample observation journal (along with the coding) used in this study.

Table 4: Participant Observation Journal

Observation #1 Date: 24-05-00 Venue: Upminster Crt.	Observation	Comment/Reflection
Event: HCPF Time: 10:00 – 12:00	<p>(1). On first impression, only half of those invited attended the meeting.</p> <p>(2). Of the nine participants present, 4 represents the Council</p> <p>representation</p> <p>(3) The make up of the group is balanced in terms of gender, but not in terms of race – I was the only ethnic minority in the steering group.</p> <p>resources</p> <p>(4) The issue of funding was discussed. There was no specific budget allocated to the task of developing the strategy. The partnership has not contributed equally to the process financially.</p>	<p>My first involvement in the development of the <i>Havering Community Strategy (HCS)</i>, and my first attendance at the steering group meeting developing the <i>HCS</i>.</p> <p>apathy</p> <p>Attendance at the meeting was very low. The meeting was not representative of the Borough of Havering, as many stakeholders, such as the private sector, the police and other public sector bodies were not present. There are not many ethnic minorities in senior positions in the council. It would appear that this is also the case in other sectors. Also, Havering population is made up of only 4% ethnic minorities.</p> <p>representation</p> <p>Havering council's budget seems to be the sole financial source for the project</p>

Focus Group

Focus group workshop formed an important data collection method in this study. There were three focus group interview/workshops carried out by the HSP, involving a wide range of stakeholders in the development of the *Havering Community Strategy*. Data collected at these workshops helped in setting the key indicators for the strategy document. A focus group is a “carefully planned discussion designed to obtain perceptions in a defined area of interest in a permissive, non-threatening environment” (Kreuger, 1988: 18). A focus group is particularly useful in an action research study, where the emphasis is on seeking change. This method allows for the involvement of those communities who will be affected by the change sought. According to Denzin and Lincoln (1994), a focus group is a qualitative data gathering technique which finds the interviewer directing the interaction and inquiry in a very structured or unstructured way, depending on the reason behind the interview.

The Focus Group Process

There were three focus group workshops in total, conducted between November 2000 and February 2002. The focus group workshops were organised by the Havering Community Planning Forum (HCPF). Photographs depicting the workshop events are included on page 129, as Figure 6. For the purposes of this study, only the November 2000 focus group workshop is described. This is because the latter event formed the basis on which the policy commitments on the *Havering Community Strategy* was based and developed. The workshop consisted of 70 participants, representing a wide range of public, private and voluntary sector organisations. The participants were selected using what Blaxter et al

(2001) described as non-probability purposive sampling. This involved deliberately handpicking the participants who are considered able to contribute to the development of the *HCS*, either because of their knowledge of partnership working or because they represent the interests of a large number of Havering residents, who the HSP wanted to reach and involve in policy development. It was also felt that the invited participants possess detailed knowledge of issues affecting the population in Havering (Maxwell, 1996).

In inviting the focus group participants, the HSP through the HCPF compiled a list of key people nominated to be invited from the Regeneration and Strategic Planning Unit's database. The Regeneration Unit holds a database of the organisations these participants represent. An invitation letter signed by the HSP board chairperson was sent to all the nominated names. The venue of the workshops was in a large hall, in which participants formed into nine discussion groups, headed by a facilitator, of which I was one. Each of the group discussed six predetermined themes identified by the *Havering Community Strategy* Steering Group. The analysis procedure of the results of the focus group workshop is described in Section 3.5.3. The aim of the focus group workshop was to develop key issues under the six predetermined themes in order to develop key indicators that could be used in the community strategy document.

Figure 6: Focus Group Workshops Developing HCS



Participants at the focus group event of November 2000 and 2001



Participants at the focus group workshop of February 2002

Semi-Structured Interviews

Interviews are commonly used in non-positivist research, and it is an effective means of collecting large amount of evidence (Remenyi et al, 1998). This method of data collection involves questioning or discussing issues with people. Interviewing is a very useful technique for collecting data which are sometimes not accessible using other methods such as questionnaire or observation (Blaxter et al, 2001).

In this study, I used semi-structured interviews to elicit responses to questions asked of the research participants, who were involved in the development of the *Havering Community Strategy*.

This involved using a prepared list of issues to be addressed and questions to be answered. There was, however, an element of flexibility built in, in terms of the order of the questions, and also allowing research participants the opportunity to speak on other issues outside of the list of questions. The key individuals interviewed throughout the course of this study are listed below:

Executive Director, Environmental Services, London Borough of Havering

Head of Community Management Team (CMT), London Borough of Havering

Head of Regeneration and Strategic Planning, London Borough of Havering

Strategy and Resources Manager, London Borough of Havering

Policy Co-ordinator, Havering Strategic Partnership

Director of Nursing, Barking, Havering & Redbridge Hospitals NHS Trust

Director of Lifelong Learning, London East Learning & Skills Council

Chairman, Havering Citizens Advice Bureaux

Chair of the Havering Chamber of Commerce & Industry

Customer Service and Project Manager, Barking & Havering Benefits Agency

Vice Principal, Havering College

Prior to conducting the interview, I sent out the questions I wanted answered, to the participants in advance. This was very useful, in that it gave them the opportunity to be prepared before the interview. The interview was conducted separately with the

participants, in their offices, face-to-face. I made running notes at the interviews, as well as audio tape recording of the interview. The notes taken were later reviewed for accuracy, and I made telephone calls to the research participants for confirmation of issues I was unclear about.

The interviews were carried out between late 2001 and mid 2002 with the key officers identified overleaf. However, in 2007, when the latest *Haverling Community Strategy* was been revised, I carried out further interviews with three other officers because of their day-to-day involvement in the strategy development. These were the Policy Co-ordinator, the Executive Director for Environmental Services and finally, with the Head of Regeneration and Strategic Planning.

The semi-interview questions centred on their background in, and knowledge of the theory of sustainable development and its application and relevance to the development of the *Haverling Community Strategy*. What were the most appropriate framework or mechanisms used to integrate sustainable development principle into the *Haverling Community Strategy* and the policies contained within it? How did the decision on developing the strategy document start; and whether, the issues addressed in the strategy document reflect the aspiration and wishes of all major stakeholders in the borough. I also asked the question on whether all sections of the community were involved in the process of issue identification; and also, there was a question on the budget devoted to the process and who the contributors were. The final question asked was on whether the messages of sustainable regeneration are being communicated to Councillors, Council staff and developers; and if so, how? The list of interview questions is included in this study as Appendix C.

Although I asked a set of pre-arranged and semi-structured questions, I nonetheless asked follow-up questions not previously arranged, depending on the response of the participants to the original questions. This approach allowed them to elaborate further on the questions.

At the end of recording the interviews, I transcribed each interview, which was labelled and kept on file. This presented an additional opportunity to become intimate with the data, considering not only the spoken word, but the speaker and the context in which the words were spoken.

Questionnaire Survey

Although this is an action research study in which qualitative data is usually the norm, I nonetheless used a questionnaire survey as a secondary data source to enrich the understanding of the qualitative data gathered in semi-structured interviews. According to Bryman (2004), this is allowed in action research, which can involve the collection of both quantitative and qualitative data. Hussey and Hussey (1997) also opined that the use of questionnaires in research studies is not confined to positivistic methodology; it can also be used in phenomenological methodology.

Using questionnaires involves preparing a list of structured questions, with a view to eliciting reliable responses from a chosen sample. A questionnaire survey was chosen as one of the data collection methods in this study because it afforded the opportunity for methodological triangulation. It is also less time consuming and cheaper to accomplish. The research participants selected for questionnaire survey in this study were spread

across a wide range of officers within the Council as well as outside agencies and stakeholders involved in the development of the *Havering Community Strategy*. There were 18 questionnaires sent out to participants of which 14 were returned. Those sent the survey questionnaires were senior Council officers involved in the preparation of the *Havering Community Strategy*. These officers' portfolios cut across a wide range of service areas, from education to health and social services. Some of the participants are known to me personally due to our joint work on the *Havering Community Strategy*. The questionnaire sent out included a covering letter, introducing the subject of the research, why the research was being conducted and who I was. The questionnaire is in three parts; part one seeks personal information of the participants. Part two seeks information on their knowledge of sustainable development theory; whilst part three focused on their involvement in the preparation of the *Havering Community Strategy*. The questionnaire consists of a mixture of eight closed and open-ended questions in total.

This survey was carried out in order to address the research problem identified in Chapter One, Section 1.2. It is also designed to assess the level of sustainable development knowledge amongst senior officers who had key roles in the development of the strategy document. As well as the above, the survey assesses the level of sustainability incorporated into the *Havering Community Strategy* and other key plans and strategies in the Council. The analysis was done by adding up the responses to each of the questions posed so as to assess the differences between the yes and no responses. The results of the exercise were inductively analysed jointly with other data collected using other methods described thus far. The questionnaire survey is included in this study as Appendix D.

Documents

The fourth source of data collection I used included documents of various types. They range from policy documents (*Havering Community Strategy*, *Economic Development Strategy*, *Local Agenda 21*, *Unitary Development Plan*, and a host of other government documents on urban regeneration and sustainable development); minutes and memos relating to the preparation of the Community Strategy; Government surveys to gather statistical information on Havering; Government legislation (*Local Government Act 2000*), Government White Papers and policy research documents.

I had access to some of these documents, and common to all information that I obtained and reviewed were sustainable development, community planning and urban regeneration information. Official documents in Havering provided useful information on the approach adopted to developing the *Havering Community Strategy*, the partnership structures and workings of the steering group developing the Community Strategy in Havering. The documents helped to build the foundation of the case study. They were also helpful as a means of verifying information shared by the participants. These documents provided descriptive information, verified emerging new categories, offered historical understanding, and helped track change and development. Documents are stable and objective sources of information. (Merriam, 1998).

Information from the interviews with key participants in the development of the *Havering Community Strategy* were compared with various minutes, memos, policy documents, committee and cabinet reports. Notes from participant observation were also compared

with other data sources. Comparing data from various sources facilitated triangulation of information and data, thus ensuring the validity of the data collected.

3.7.3 Data Analysis Strategy

In the previous section an attempt was made to describe the data collection methods. In order to facilitate an understanding of how all the data generated could be structured into meaningful data, which could be related to the research questions, this section describes the data analysis strategy. A mixture of data analysis strategies were employed in analysing the various data collected. This is because of the varied nature of the data collection methods employed.

Data analysis involves the breaking up, separating, or disassembling of research material into pieces, parts, or units. "With facts broken down into manageable pieces, the researcher sorts and sifts them, searching for types, classes, sequences, processes, patterns, or whole. The aim of this process is to assemble or reconstruct the data in meaningful or comprehensive fashion" (Jorgensen, 1989: 107). Through analysis of the data, theory is developed and supported.

In this study, I used a mixture of data analysis strategies, namely "conceptually clustered matrix" approach, inductive analysis, theoretical triangulation and multi-criteria analysis. The results of the latter analytical method are appended in Appendix A. A conceptually clustered matrix approach arranges items according to their conceptual or empirical resemblance, allowing for similar characteristics in the responses to be grouped together

to identify the patterns of opinions expressed by participants (Miles and Huberman, 1994).

Data from the focus group workshop of November 2000 was analysed in two phases. The first phase of the analysis involved using conceptually clustered matrix approach (Miles and Huberman, 1994). This phase of the analysis enabled the development of the *Haverling Community Strategy*. In order to establish the matrix, comments made under each of the six pre-determined themes were first aggregated into one spreadsheet. For easy reference, comments were numbered according to their respective group and the relevant theme. For example, comments from the first theme in Group A were numbered A1. The numbering method allowed reference between raw data and aggregated data in the matrix.

In the next stage, comments from the nine groups that belonged together in the same theme were arranged. Although, there were “a prior” (or predetermined) themes which the groups worked on, some of the responses did not contain enough meaning to fit the themes. To address this problem, the research team clustered these comments in a preliminary manner initially. These were further reviewed several times to modify clusters and eliminate any inconsistencies. The themes were finally clustered under six main headings or categories created. The six headings were: community participation; better health and welfare; prosperous community; lifelong learning; safety; and environment. The analysis team in the first phase was composed of six officers (including myself) from the Haverling Strategic Partnership (HSP) group. This collaborative approach is congruent with action research methodology and the Participatory Inquiry paradigm, the latter worldview adopts an interactive, cooperative approach through

qualitative analysis (Skrbina, 2001). McNiff et al (2001), also wrote about the characteristic of action research which is that, it is participatory and it is carried out by individuals, but in company with others. McNiff explained further that, because individuals are investigating their work, and their work is always with others, they cannot do their research in isolation. Although they might do their research by themselves, they are however, always in interaction with others in one form or another.

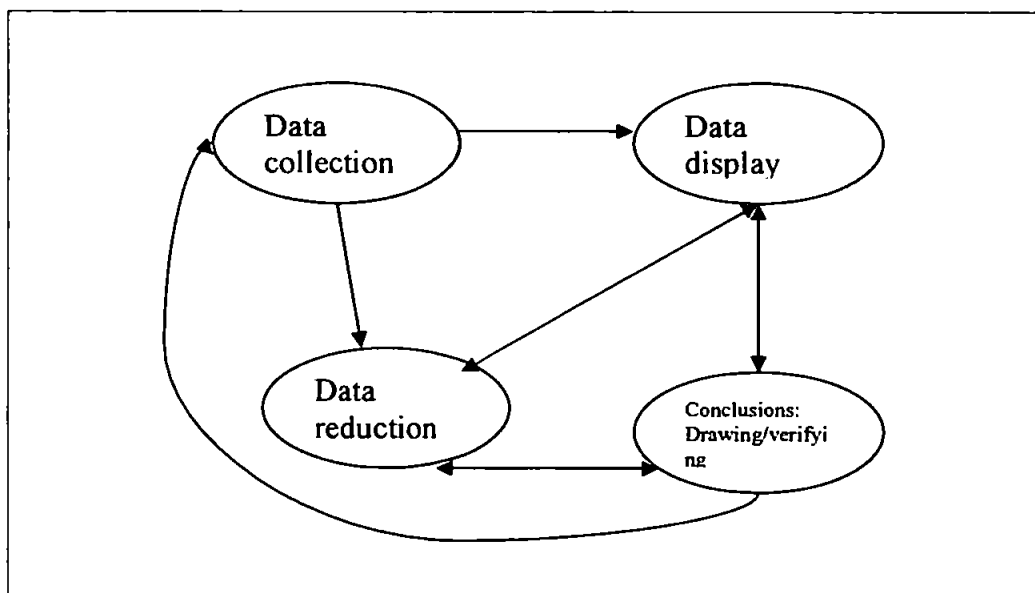
The second phase of the focus group data was analysed by myself for the purposes of this study, using inductive analysis procedure (Mertler, 2006 and Thomas, 2003). The inductive analysis procedure is described below and was also used to analyse the data collected through semi-structured interview, documents, participant observation and meetings. However, in order to achieve the action research and participatory worldview requirement for collaborative work, I shared my analysis procedures and results with Havering Strategic Partnership group members, through their monthly and bi-monthly meetings. I also achieved action research by discussing the analysis result at my bi-weekly 'one-to-one' and quarterly Personal Development and Performance Appraisal (PDPA) meetings. At these meetings comments that were made by the group and by my line manager, were reflected upon (in the reflection phase of my action research cycle) before they were incorporated. This is a valid action research approach, according to, Dick (1997), who termed this 'participants as recipients.' He opined that in many instances, a researcher might decide not to involve all of those who might have an interest in what you are doing, as numbers may be too great. Often, time will be short and money scarce, in which case one would then have the task of keeping the wider group of potential participants informed about what is happening.

Inductive analysis on the other hand allows research findings to emerge from the frequent, dominant or significant themes inherent in raw data, without the restraints imposed by structured methodologies (Thomas, 2003). Through inductive analysis, extensive and varied raw text data can be condensed into a brief, summary format. It also allows establishing clear links between the research objectives and the summary findings derived from the raw data and to ensure these links are both transparent (Ibid).

“Multi-criteria analysis (MCA) or multi-objective decision making is one of a number of decision analysis tools that is used in cases where a single-criterion approach (such as cost-benefit analysis) falls short, especially where significant environmental and social impacts cannot be assigned monetary values. MCA allows decision makers to include a full range of social, environmental, technical, economic, and financial criteria (Internet, undated 1a). It involves using a structured approach to determine or weigh up preferences among alternative options. This is done through specifying desirable objectives and then identifying corresponding attributes or indicator to measure them. The importance and usefulness of this method is in its ability to measure for decision makers the estimate the degree and nature of sustainability incorporated into proposed policies, strategies and developments. This may serve as a method of revision to limit negative impacts. Although this is an action research study in which the guiding research philosophy is participatory inquiry paradigm, the multi-criteria analysis described overleaf, however, did not fit the philosophical and methodological framework for the study. However, no study can be purely inductive. There must be elements of deduction given the measurement of achievement against the UN, EU Directives and the UK *Local Government Act 2000* pre-determined sustainable development criteria which the local councils are measured on sustainable development issues.

Miles and Huberman (1994) identify three stages to data analysis, which starts with data collection. The later then moves on to data reduction, followed by data display. The latter stage facilitates the drawing of conclusions. The authors contend that “in this view the three types of analysis activity and the activity of data collection itself forms an interactive, cyclic process” (ibid: 12). This process is represented in Figure 7 below.

Figure 7: Interactive and cyclic process of data collection and analysis



Source: adapted from Miles and Huberman, 1994

The process of data analysis, as described above, is congruent with the cycles of action research methodology, employed in this study.

3.7.4 Coding Procedure

In a study using participatory paradigm and action research methodology, analysis begins as the data is collected (Hendricks, 2006). The necessity of making sense in earnest, of

the data collected became apparent as this study progressed. This continual analysis of data and refinement of study plan is a hallmark of action research. The latter occurred at the reflective stage of my action research, when lessons learned and mistakes made at the initial stages of the data collection were noted and adjustments were subsequently made at the next stage of the action research process. This provided the opportunity to collect the right and appropriate data for the study in the long run (Miles and Huberman, 2002).

In qualitative action research, data is reviewed several times to discover the necessary categories, themes, and patterns that emerge from the study (Roberts, 2004). Coding according to Huberman (1994) is the process of assigning units of meaning, in the form of tags, labels, categories or themes to the descriptive data collected during a study. Through coding a whole chunk of data, for instance, sentences, phrases, whole paragraphs or words can be coded (Miles and Huberman 1994). This allows researchers to sharpen their ability to ask questions about the data (Charmaz 2000). It equally forces them to make decisions regarding the meanings of the continuous blocks of text (Ryan and Bernard 2000). The latter authors propose sampling, identifying themes, building codebooks, marking texts, constructing models (relationships among codes) and testing these models against empirical data, as the task associated with coding (Ibid). The approach suggested by Huberman above guided the analysis of data in this study.

The first phase of the focus group data was analysed by a team of six officers (including myself). However, in the second phase, the focus group data as well as the interview transcripts, the survey, documents and participant observation transcripts were solely analysed by myself, using the coding procedure described above and in Chapter Five, Section 5.1. In order to address the issue of trustworthiness and credibility of findings and

to also ensure that the data collected and interpreted, accurately reflected the experiences of the participants, I employed the following verification procedures in this study (Mertler, 2006; Creswell, 1998; Thomas, 2003):

triangulation: Triangulation was accomplished by using multiple methods for data collection (interview, focus group, documents, questionnaire survey and participant observation).

stakeholder checks: Checks by members of the Havering Strategic Partnership as well as management within the Regeneration Unit of the London Borough of Havering enhanced the credibility of findings in this study. This is because it allowed them to comment on and assess the research findings, interpretations, and conclusions.

3.8 Limitations, Validity, Reliability and Generalisability

There is hardly a method in the social sciences that is devoid of shortcomings; and this study is no exception. In such a situation, an acknowledgement of the limitations encountered is usually the starting point in remedying the shortcomings. In the case of the present study, the limitations identified are congruent and contingent upon the nature of qualitative action research study conducted on a single population.

Data generated in this study were representative only of those partners involved in the preparation of the *Havering Community Strategy*. The participants chosen were deemed to have some knowledge about the *Havering Community Strategy* and capable of explicating and recounting their experiences of the process of developing the strategy

document. The study did not explore or seek views outside of Havering. This approach can be said to represent a single population. Caution is therefore required when considering extrapolation and generalisability of the results. The respondents who participated in the study were mainly those who participated in some way in the development of the *Havering Community Strategy*. In terms of ensuring the reliability of the research methods; the adoption of a structured approach in this study ensured consistency of method across respondents to enhance the reliability and potential replicability of the research (Yin 1994). For example, the focus group participants represented a cross section of the Havering population and the analysis of the data gathered was tested in various ways. For example, the research team which consisted of the HSP members were involved in the analysis process. Similar approach and procedure were applied in data gathering from other sources, such as in semi-structured interview. Although the findings of this study is specific to the London Borough of Havering, however, the findings of the study may be of interest to others in similar settings, particularly other urban areas where there is a requirement for developing and implementing a sustainable development plan.

Validity of the research methods was achieved through methodological triangulation. The latter occurs when a study uses various methods of data collection and analysis. This study uses various methods in data collection and analysis. There are, however, threats which may affect the validity of an action research study such as the present study. These are misunderstanding of the situation being described by the participants; or deficiency in memory of the participants of events being investigated. These issues were dealt with in various ways. For example in the case of the former, the situation was helped by the fact that I was involved and present at the situation the participants were describing. As a

result, I was able to increase their perception by skilfully briefing them through drawing their attention to certain happenings throughout the development of the *Havering Community Strategy*.

In order to deal with the deficiency in memory of the participants of events being investigated, I was able to improve their recall of events by allowing them enough time to recall events. I also used multiple questions to approach the issues a bit at a time; I also asked questions about those aspects of the events which were most easily recalled. This aided the recall of other aspects. In an action research study such as this one, there is an element of subjectivity built in, in data analysis on the part of the researcher. This may threaten the validity of the findings and conclusions drawn from the study. In order to guard against this dilemma, I engaged in regular critical reflection and I looked out for and actively sought information which disconfirms my assumptions and interpretations. I also sought feedback from colleagues as well as employing a method of data triangulation, in which various methods and sources were used for data collection and analysis. These then minimised biases and assured validity of the study's findings and conclusions.

Theoretical validation of the theories and principles of sustainability and sustainable development and globalisation theory was achieved through researching a huge volume of literature from various authors. This presented the opportunity to weigh views and facts presented in order to assess similarities and thereby minimised bias. Validation of the case study information was achieved through the action research group, namely members of the Havering Strategic Partnership and professional regeneration colleagues in the Regeneration and Strategic Planning Unit of London Borough of Havering, who were

given the opportunity to comment and review the study, particularly, the new HSP Policy Co-ordinator and the Head of Regeneration and Strategic Planning.

3.9 Conclusion

In this chapter I explored various research paradigms, and I justified my choice of participatory inquiry paradigm by explaining how it reflected my assumptions relating to ontology, epistemology and human nature. I also justified my choice of action research methodology by arguing that it allowed for emergent issues as well as the development of understanding and action. In discussing the match between my research requirements and an action research methodology I referred to its capacity for rigour based on cycles and its allowance for qualitative data to contribute depth, openness and detail in understanding. I concluded the section by explaining the data collection and analysis methods, giving justification for their use as appropriate. On these bases, this chapter has laid the foundation for the use of participatory inquiry paradigm and action research methodology in order to fulfil the aims and objectives of the study identified in Chapter One. One of the aims of the study was described in Chapter One as seeking ways of translating sustainability and sustainable development aims and objectives into practical means in a local government setting. In other words, the study is concerned with the application of theory to practice. Since this chapter has begun to fulfil this stated objective, the study can now proceed to Chapter Four to develop the three levels of theory proposed, namely, grand theory, meso theory and substantive theory in Chapter Five.

CHAPTER 4: THEORETICAL OVERVIEW: CONCEPTUALISING THREE LEVELS OF ABSTRACTION

4.1 Introduction

Chapter One stated that one of the aims of this study is to contribute to the debate in sustainability and sustainable development. This is being achieved through proposing three levels of abstraction in the form of globalisation theory, sustainability theory and applied local sustainable development; which are conceptualized as grand theory, meso theory and substantive theory. The present chapter attempts to fulfil this stated aim by over viewing these theories, and linking them in order to contribute to and provide an insight into the sustainable development debate at different levels of activity. The results of the analysis in Chapter Five are being used to develop the substantive theory.

This chapter begins by defining theory and looking at the various levels of theory and their relevance in the social sciences. This establishes their justification for use in this study. An attempt will be made to conceptualize globalisation theory as a grand theory. This is then followed by the analysis of sustainability, which is conceptualised as a meso theory (or middle range theory). Here a holistic analysis of the theory is provided. The latter part of this section will then explore the relevance of globalisation in sustainability, looking at both the negative and positive impacts it has on sustainability. How these affect policy development on sustainability at the regional, national and at local levels follows. The latter sets the framework for the development of the substantive theory. The results of the analysis in Chapter Five will be used for the purpose.

4.2 Setting the Scene – Defining Theory

Theory “generates pluralism, produces choice, creates alternatives, formulates debate and communication, increases awareness, minimises dogmatism and develops understanding” (Internet 1, undated). Corbin and Strauss (1990:15) describe theory as incorporating a “set of well developed concepts related through statements of relationship, which together constitute an integrated framework that can be used to explain or predict phenomena.”

From the above definitions, theories constitute a framework for the development of new knowledge and validation of old ones. They also guide the socialisation into a discipline, its language, interests, world view and philosophy. They can be used for analysis and the planning of intervention. Theories can therefore be used to: describe, explain, predict and prescribe (Internet 2, undated).

Howell (2004) identified four levels of theory, which he described as political philosophy, grand theory, middle range theory (or meso theory) and substantive theory. However, for the purposes of this study only three levels of theory are described, namely, grand theory, meso theory and substantive theory.

Grand theories according to Wiarda (2006) are large, overarching explanations of social and political behaviour which give coherence to a discipline and provide the big picture, in this case, globalisation. For example, in the context of sustainable development, a grand theory will emphasise a global viewpoint of sustainability practice, and a distinct sustainability perspective of sustainable development phenomenon. Skinner (1985)

defines grand theory as any theory which attempts an overall explanation of social life, history, or human experience.

Fawcett (1995) in, Van Sell and Kalofissudis (undated) sees "Grand Theories as the broadest in scope, less abstract than conceptual models but composed of general concepts still relatively abstract, and the relationships cannot be tested empirically." Grand theories may in addition provide the foundation for a mid-range theory (ibid). They are broad and abstract and do not easily lend themselves to application or testing (McKenna, 1997). An example of a grand theory relevant in the field of sustainable development would be globalisation theory or development theory, following the logic of these definitions. Any of the latter theories, (in this case globalisation theory) can be generalised to other situations other than in sustainable development. This is only possible because it is abstract. Moody (1990) argues that to usefully generalise a theory to other situations, it needs to be abstract (in McKenna, 1997). Because of the abstract nature of grand theory, it is difficult to operationalise the concepts within it.

As an antidote to speculative theorizing, which is the hallmark of grand theory; Robert Merton in 1968 introduced the concept of middle-range theory that allowed empirical testing (Holton, 2004). Middle range theories are "moderately abstract and inclusive but are composed of concepts and propositions that are measurable. Therefore, mid-range theories, at their best, balance the need for precision with the need to be sufficiently abstract" (McKenna, 1997: 144). Sustainable development as a concept falls into this category. Although it is sufficiently abstract and easily generalisable, it is also composed of measurable concepts and propositions, as will be shown later in this study. Merton (1968) contends that mid range theories are particularly useful for practical disciplines (as

in urban regeneration practice of a local authority, like the London Borough of Havering). He asserts that middle range theories only identify a few key variables, have limited scope, but present clear propositions.

The last in the list of the four levels of theories identified at the beginning of this chapter is the substantive theory. Darkenwald (1980) opined that a substantive theory is close to the real-world situation, and usually deals with a particular limited domain of inquiry, such as preschool programs, emergency-room care, or university extension services. A meso theory, on the other hand, deals with a general domain of social science, such as socialization or formal organisation, and is necessarily more general and conceptually abstract. The construction of meso theory is the proper concern of academic social scientists, whereas the construction of substantive theory is, or should be, a concern of researchers in applied professional fields.

From the definition and analysis provided above, it is clear that theories entail different understandings of knowledge, cognition for knowledge development as well as acquisition, application, evaluation and critique. How theories apply to different subject areas, such as globalisation sustainability and sustainable development are explored below, starting with globalisation theory.

4.3 Towards a Grand Theory of Globalisation

The previous section on the definition of theory, explains grand theory as a theory which attempts an overall explanation of social life, history, or human experience (Skinner, 1985). This section conceptualises globalisation as a grand theory in order to develop an

understanding of the theory of sustainability at a grand global level. Globalisation theory fulfils the role of a grand theory following the definition espoused by Skinner. This section thus begins by providing an overview of globalisation theory, with definitions offered as seen from different authors' perspectives.

There are numerous research papers and articles on globalisation theory, as seen from various perspectives (Held, 1999; Giddens, 2005; Reyes, 2001; O'Brien, 2002; Akindele, 2002; Weiss, 2002; Steger, 2003; Eriksen, 1999; and Lazarus, 1998). This study contributes to this vast information. However, the contribution made in this study relates to the identification of the opportunities and threats prevalent in globalisation. The threats are discussed with reference to and in the context of sustainability, with particular attention being paid to the developed world.

4.3.1 Defining Globalisation Theory and its Origin

Globalisation theory fulfils the role of a grand theory following from Skinner's definition above. The definitions of globalisation theory provided below support this claim.

Reyes (2001) posits that globalisation theory's aim includes the interpretation of the current events on the international sphere in terms of development, economic conditions, social scenarios, and political and cultural influences. O'Brien (2002: 1) sees globalisation as the increasing interdependency between various markets across the globe, while markets are the places to barter, sell and buy commodities. In this sense, globalisation can be understood as markets opening themselves to other markets, the objects of trade being capital and goods, including culture. To Akindele et al (2002),

globalisation is essentially aimed at the homogenisation of political and socio-economic theory across the globe.

It appears from the above definitions that the term globalisation is subject to many and different interpretations. However, in development context, it is historically discussed with reference to the fast-growing expansion of flows of commodities, capital, services and technology between countries in the world economy (Weiss, 2002). Most of the definitions and analysis of globalisation have therefore centred on the increasing integration of economies globally, most especially through trade and financial flows. It nonetheless remains that the term equally applies to the movement of labour and technology across various borders. The term also resonates in cultural, political and environmental spheres.

From the above definitions, it is therefore safe to conclude that globalisation as a phenomenon is ubiquitous and transgresses state or national boundaries. In other words, as a result of global communications there is increased contact between cultures, identities and views across national frontiers. This has thus created the avenue for easy exchange and access to vast information, ideas, culture, institutions, goods and services, between nations. Steger (2003) describes this as a social condition which is characterised by the existence of global economic, political, cultural, and environmental interconnections and flows that make many of the currently existing borders and boundaries irrelevant. This is echoed by (Eriksen, 1999) when he wrote that globalisation processes are multi-dimensional and comprises a diverse domain of cooperation such as trade and finance, multinational corporations, cultural trends, environmental changes as well as emerging forms of political governance.

It is often said that we live in a global village; globalisation is pervasive in nature - it is everywhere. This point is driven home clearly by Lazarus (1998), when he wrote that there are no issue of the Guardian, the New York Times, the Wall Street Journal or the Financial Times, that goes to print without reference to the term globalisation. He cites that no policy speech by either Tony Blair, Bill Clinton, Frei, Mohathir, or Tabo Mbeki is replete without a solemn invocation of globalisation doctrine. What this means is that actions at the local, regional and national levels of activities are shaped by global events. Could it also be said that local happenings shape global events? This is being revisited later in this section.

In the meantime, however, globalisation is a contested phenomenon, in that there are opponents who are strongly opposed to its perceived and inherent threat to the poorer nations and to a sustainable future. The most visible and vocal opponents in recent times, have been the anti-capitalism protestors - through demonstrations mounted during G8 summits in European cities. However, proponents of globalisation are equally vocal about the untold opportunities presented by the phenomenon. Ferguson (2003), captures this well when he contends that the leftist opponents of globalisation regard it as international capitalism; the liberal economists on the other hand regard globalisation phenomenon as increasing economic openness which has raised the standard of living, even though the benefits do not spread evenly across the board (Hutton and Giddens, 2001).

In essence, the term globalisation connotes different meaning to different people. It raises a range of issues "from the future of language to the future of the planet – that includes economics, politics, sociology, geography, history, psychology and ecology" (Geographical, 2003: 1).

Is globalisation therefore a recent fad or has it always been around, albeit in different guise, wrapped in different terminology? Views on the exact beginning of globalisation vary amongst different authors. O'Brien (2002) identified four epochs in the history of globalisation, which he represented as, archaic, proto-, modern and post-colonial. Archaic period of globalisation became evident in between 13th and 18th centuries, and was structured around religion. Proto- globalisation covered the period between 1600 and 1800 in Europe, Asia and parts of Africa, including the plantation system of the Americas and Africa and the African slave trade. Modern globalisation on the other hand started after 1800 during the period of industrialisation in Europe. The latter development had spread to other parts of the world through assimilation and association. Post-colonial globalisation, which represent the present day globalisation started in 1950s or mid 1970 (Ibid).

Girvan (1999), argued that the linking up of different regions of the world started during the latter part of the 15th century due to the European maritime and mercantile expansion. There is another school of thought that suggests that many of globalisation theory's underlying trends have a much longer history. The example of imperialism through the British Empire has been described by some such as Windschuttle (1998), as a form of globalisation that preceded the present day globalisation as we know it. Imperialism involved an extension of one country's rule and influence over other nations, as in the case of the British Empire.

The British colonised these nations in Africa, the Caribbean, North America and Asia, ruling over them and presiding over their economy to the disadvantage of the host nations. Not only were their resources exploited but also were their culture. Windschuttle

(1998) describes the latter view as today's liberal thinkers view of imperialism. He asserts that

“western imperialism is widely regarded among liberal thinkers today as the most damning indictment of Western culture. As the process unfolded over the past five hundred years, it was accompanied, we are now frequently told, by unconscionable exploitation and in some cases the near total destruction of the indigenous inhabitants of the European colonies, together with widespread slavery and gross abuse of indentured labour, not to mention the rampant destruction of the environment” (Ibid: 1).

There are others such as Patnaik (1993) who views US invasion of Vietnam and Panama as a modern form of imperialism. He wrote that there was the invasion of Grenada, and more recently the invasion of Panama, justified on the argument that the jurisdiction of a U.S. court extends to foreign countries as well. There has been the remarkable spectacle of the United States using its domestic social crisis, i.e., drug-abuse among the youth, as an argument for violating the sovereignty of states across the entire Latin American continent, waging battles against peasants to alter their production decisions - even while demands for raising the prices of alternative crops to coca have met with a stubborn refusal (Ibid: 1). The points raised by these authors suggest that globalisation is a form of imperialism, in which stronger nations dominate over weaker ones. Looking at these points from a different angle, could it be said that imperialism was the fashionable term of its period to denote what globalisation is today in the 21st century? Globalisation in some respects shares certain attributes with imperialism, particularly since both involve the stronger nations dominating the weaker ones, as in the current relationship between the developing and developed nations in the field of trade, in which the west dictate the tune.

The logic from the above argument is that other terminologies employed at various epochs by different generations, such as the use of the term interdependence in the 1970s,

represent what globalisation is today (Keohane, 2002). Although, the term interdependence was extensively used in the 1970's, Marx was the first to use the term in the Communist Manifesto of 1848, when he used the term to describe the universal interdependence of nations in comparison to the old local and national seclusion of independence and self-sufficiency (Wikipedia, 2009).

But the widespread use of the term globalisation belongs to the 1990s (Girvan, 1999) . The last decade of twentieth century saw the growth of a multilateral world system termed globalisation. The latter was preceded by a dominant world system in the sixties and the seventies called interdependence (Mohaghar and Shafee, 2003).

McNally (2000) on the other hand traced the modern origin of globalisation to the 1980s when, according to him, economic, political and technological transformations took place around the world. Although many of the underlying trends of globalisation, have a much longer history.

It therefore appears that each epoch in development has had a label attached to it. This in essence means that globalisation is not a recent phenomenon. Although a number of authors traced its beginning to various eras of development in the past three hundred years. This makes its origin very difficult to ascertain, however, they are generally identified with the 1980s and 1990s when major economic, political and technological transformations occurred globally.

The one certain aspect of globalisation, however, is the ubiquitous nature of the phenomenon which is having a profound impact on the activities of governments

regionally, nationally and at local level. What therefore is the relationship and, of course, the implications of the globalisation phenomenon on these layers of government; these are addressed below.

4.3.2 Globalisation's Relationship with the Regions, Nation State and Localities

The literature suggests that no aspect of life is untouched by globalisation. If this is the case, what sort of relationship exists between globalisation, regions, nations and localities? These relationships will have an impact on the interpretation of sustainability at different levels, including policy formation as it relates to sustainable development. In analysing the relationship between the regions and globalisation, it is however, prudent to define regions as a starting point. Regions for the purpose of this study refer to the limited number of states or nations linked by a geographical relationship and by a degree of mutual interdependence (Kacowicz, 1998). The European Union (EU), North America and East Asia are good examples of regions. And opinion is divided on their relationship with globalisation and how they are affected by it. There are those who opined that regions are a component of globalisation (Mittelman, 1996). Howell (2009), on the other hand, whilst acknowledging that a region, in this instance, the EU, could be construed as an agent of globalisation, also contends that it could be conceived as a reaction to globalisation, to curb the excesses of neo-liberal ideals.

On the former, Kacowick (1998) argued that through multilateral cooperation regions advance the cause of nations in the global sphere. This thus makes regions a component of globalisation, particularly when impelled by the markets. Grubb (1995), on the other hand sees the regions, particularly the EU as an extension of globalisation in areas other

than the global economic market. The EU climate change policy is one area where the region can be demonstrated as an extension of globalisation. For example, during the 1980, the EU lead the efforts in addressing the problem of climate change, particularly the CO2 emission; when the EU sought to lead the international process established by the United nations (UN) General Assembly towards a strong framework Convention on Climate Change (Ibid). Furthermore, the EU in particular, is an important extension of globalisation, because it represents a microcosm of the global problem (Ibid). Badakhshani (2008) offers a definition of globalisation based on the ideal of a region. He opined that globalisation is the integration and interaction between different people and nations. He cited the EU as an example of this integration, in which member states share the same democratic values and norms (Ibid).

On the other hand, the regions can be a reaction to globalisation. Howell (2009) argued that through defensive and offensive tactics the EU is able to deal with the effect of globalisation. The defensive tactic considered that globalisation could not be tamed but may be mitigated through regionalisation, whereas in exercising its offensive tactics, the regions may act as a means of transforming the negative effects of globalisation through political process (Ibid, 2009). Hettne (1996) explains this further by stating that because global world market dominates over structures of local production, regionalism can counter this dominance through exercising deliberate political will to halt or reverse the process. This is in order to safeguard territorial control and cultural diversity, which critics contend are being standardised and homogenised by the forces of globalisation. Hettne (1996) further asserts that this is a new form of regionalism, different from the cold-war period. This new regionalism is able to thrive due to the decline of the US hegemony and the breakdown of the communist subsystem. The new regionalism is a

spontaneous process from within the regions, where the constituent states now experience the need for cooperation in order to tackle new global challenges; since most states lack the capacity to do so on their own (Ibid).

Since states alone are unable to tackle the increasing global challenges according to Hettne (1996), the immediate question one asks is why this is the case? Foremost, globalisation is the spread and intensification of economic, social and cultural relations across international borders. What this means in practical terms is that globalisation is pervasive and affects almost everything from politics, economics, technology, society, to culture and communication, etc. This, in no doubt has had some effects on the way the nation state functions. For example, economic globalisation has made it difficult for countries to control economic developments within their own borders. The cross border characteristics of globalisation, particularly, in global trade is causing a considerable interference and undermining the powers of the state. This imposed constraint on the sovereignty of the state has thus seen the emergence of various forms of co-operation amongst states. Countries bargain about influence through the regions; as in an increasingly interdependent world, isolation is not good for the country as seen in the case of North Korea or Iran.

The perceived wisdom therefore is that globalisation has caused the collapse of the autonomy states enjoy (Jegade, 2001; Ostry, 1998; and Anderson, 2006). This is due, in part, to technological progress in transport and telecommunications. It is also attributable to the fact that trans-national corporations are becoming increasingly powerful and are exerting influence on and control over economic policies around the world.

Multinational companies are not the only actors challenging the power of the nation state, as Ostry (1998) acknowledged. The international non-governmental organisations (INGOs) are increasingly wielding influence both domestically and internationally. As well as the above players in exerting influence on domestic policies and politics of sovereign nations, there are also other new global institutions, e.g. General Agreement on Tariffs and Trade (GATT) and The World Trade Organisation (WTO), and broad trends such as democratisation (including decentralisation), changing position of women and assertiveness of civil society are having a profound impact (Park, 2003 and IIED, 2000).

Held (1999), also acknowledges the changing relationship between globalisation and nation states when he introduces five central points to characterize this. The first of these relates to the power shift in which political power is no longer in the hands of national governments. Power is now shared, bartered, and struggled over by many forces at national, regional and international levels. Secondly, neither can the idea of a self-determining collectivism be located within the boundaries of the nation state alone: "The system of national political communities persists of course; but it is articulated and re-articulated today with complex economic, organisational, administrative, legal, and cultural processes and structures which limit and check its efficacy" (Ibid: 103). These structures and processes should be brought into the political process. Thirdly, there is a set of disjuncture between the formal domain of political authority, that is the state, and the actual practices and structures of the state and economic system at the regional and global levels. Fourthly, there are various loyalties which cross the borders of states. The operations of states in complex regional and global systems affect both their autonomy and their sovereignty. Lastly, there are new types of boundary problems. Powerful states

make decisions not just for their people but for others as well, so that it is difficult to find out who is responsible for what.

The common thread in these arguments about the changing relationship between the state and globalisation is that due to technological progress in production methods, transport and telecommunications, globalisation will progress and is progressing irrespective of nation states stance. Zedillo (2001), whilst acknowledging the influence of the drivers of globalisation, has a different take on the argument about the changing relationship between the state and globalisation. He contends that the impact of globalisation on the nation state, and the relationship between the two have been influenced by the political decisions taken by nation states at the national, regional and international levels. To illustrate this further, Zedillo asserts that at the national level, sovereign state decisions to foster the market economy by opening to foreign trade and investment and liberalising financial markets are key to explaining present economic integration. He continues further that regional agreements, such as the European Union and NAFTA were not the result of technological progress, but rather the result of political visions and decisions by sovereign states.

Whilst there is credence in the argument espoused above by Zedillo, he nonetheless fails to acknowledge that nations have had to adapt to the inevitability of globalisation due to technological proliferation. There is consensus in the literature that countries unwilling to adapt to the forces of globalisation, or failing to participate will be left behind in economic prosperity and other benefits associated with globalisation.

Globalisation also has a precarious relationship with localities, in that its impacts are eroding the power of local governments at any unilateral economic, social and environmental decision making, in a constantly changing global environment. For example, due to the requirements of flexibility imposed by the new global economy, localities and major cities are becoming more vulnerable than before. This is due in part to the downsizing of the welfare state and the decreasing role of the state in regulating economic activities at the local and national levels. The ability of both the nation state and local governments to exercise power to protect both national and local labours is no longer possible due to the flexibility and competition in the market place (Fontan, 1999).

In looking at the relationship of globalisation with localities from a different perspective, it appears that, for example, a sense of what used to be called 'place' is threatened by the forces of globalisation (Corcoran, 2002). Relph (1976), argues that the potential for people to develop a sense of place in a technologically advanced global economy has been undermined by the possibility of increased spatial mobility and by a weakening of the symbolic qualities of places. This is echoed by Sennett (2000), who asserts that as globalisation spreads its tentacles globally into the public space of localities, attachment and engagement with specific places is dispelled, and the accumulation of shared history and of collective memory diminishes. Although the powers of nation states and of local governments are being usurped by the forces of globalisation, according to Held (1999), this opens up the possibility for a new participatory democracy at the local level. Giddens (2005) also shares this sentiment that although globalisation affects the sovereignty of nations and of localities, however, it does not mean the end of the nation states, but rather, that it encourages local nationalism.

4.3.3 Summary

This section started by conceptualising globalisation as a grand theory with definitions of the phenomenon offered in the process. The section subsequently proceeded to analyse globalisation's relationship with the regions, nations states and localities. The relationship with globalisation of the regions, nations states and localities will have obvious policy development implications in the area of sustainability, at the three levels identified above. These are being addressed in Sections 5.4.4 and 5.4.5, after an analysis of sustainability has been provided in Sections 5.4 through to 5.43 below. In these sections sustainability is conceptualised as a meso theory. It is at this level that a greater understanding of the theory of sustainability is developed, to provide a framework for the conceptualisation of the theory as a substantive theory.

4.4 Towards a Meso Theory of Sustainability

The previous section conceptualised globalisation as a grand theory, looking at its definition from various perspectives, its origin and its relationship with the regions, nation states and localities. What is the implication of globalisation for sustainability and how does it impact policy development at the regional, nation state and localities levels? This is being revisited in Sections 5.4.4 and 5.4.5 below. Before the latter question could be answered, it is prudent to do an analysis of sustainability. It is as a result of this that this section of the study conceptualises sustainability as a meso theory. Foremost, however, globalisation presents many challenges as will be shown later, and sustainability as a theory is seen by many as a response and an answer to the growing challenges of globalisation. As the Council of Europe (2003) indicated, in response to the effects of

globalisation, a truly human and world-wide conception of sustainability enables us to be more aware of the risks faced by humankind and the planet, and shows that a global and concerted form of regulation is both necessary and possible, thereby challenging the pre-eminence of economic arguments and thinking.

The above passage from the Council of Europe, succinctly captures the rationale behind this section, which attempts to analyse the theory of sustainability, as a response to the challenges of globalisation. In order to do this, sustainability is conceptualised as a meso (or middle-range) theory, in order to provide an insight into the theory.

Middle-range theories as previously stated allow for empirical testing. Although they are moderately abstract and inclusive, they are nonetheless composed of concepts and propositions that are measurable (Holton, 2004). This dual role balances the need for precision and the need to be sufficiently abstract (McKenna, 1997). Middle range theories are particularly useful in practical situations (Merton, 1968).

Sustainability as a theory falls into this category. Although it is sufficiently abstract and easily generalisable, it is also composed of measurable concepts and propositions, as will be shown later in this study. This contrasts with grand theories which are very abstract in nature and thus difficult to operationalise the concepts within it.

4.4.1 Sustainability – Definition

Sustainability refers to a state or condition that can be maintained over an indefinite period of time (Collins's 2001 and Webster's, 1996). The theory of sustainability is therefore applicable in any sphere of activity, from agriculture to house building, etc. As a result of this widespread applicability, various definitions of the theory therefore abound to describe various context in which it is used. However, in its environmental and human usage, sustainability refers to the potential longevity of vital human ecological support systems such as the planet's climatic system, systems of agriculture, industry, forestry, and fisheries, and human communities in general and the various systems on which they depend (Baker, 2008). Sustainability in this sense is concerned with the preservation of natural ecosystems and reserves, and the making of human economic systems last longer so as to have less impact on ecological systems. It is particularly related to concern over major global problems such as climate change and the depletion of fossil fuel (Diesendorf, 2000). The IUCN/UNEP/WWF (1991), provided a simpler definition of sustainability in its environmental usage, as improving the quality of human life while living within the carrying capacity of supporting eco-systems.

Although Zoeteman (2002), argues that Rachel Carson's *Silent Spring* (1962) is the first to report on the environmental degradation humans face as a result of the effect of accumulation of widely used pesticides. It is however, widely acknowledged in the literature that the 'Club of Rome' publication 'Limits to Growth' was the first to use the term sustainability and highlight these environmental issues of pollution and overpopulation and over consumption of earth's finite resources. Since the 'Limits to

Growth' publication, a wide range of interpretations of the theory of sustainability have emerged, and these are discussed below.

4.4.2 Different Approaches to Understanding Sustainability

In the first few years of the debate on sustainability, three strong conceptual approaches emerged in the understanding of the theory. The debate is divided between those who advocate a neoclassical approach, ecological approach or cultural relativism approach. These are also sometimes referred to as weak sustainability, strong sustainability and Brundtland approach to sustainability in some literature.

Neoclassical View

Neoclassical view of sustainability centres on economic and industrial issues. Authors such as Pearce et al (1989), Neumayer (2003), and Scottish Executive, (2006) termed it weak sustainability. Common (1996) conceived it as economic conceptualisation of sustainability. Although, Neumayer (2003), acknowledged that weak sustainability is rooted within neoclassical economics thinking given its assumption of substitutionality of natural capital; he however contends that conceptually it is different. His explanations of the difference are not touched upon in this study.

Neoclassical view of sustainability advocates the continuation of industrialization, sustainable high levels of economic growth and technological progress. The view emphasized technological advancement as an antidote to countering the effect of potential environmental degradation. "Neo-classical economic theory suggests that, if left alone,

the free market will result in the 'efficient' use of resources" (WBCSD, 2001). Neo-classical viewpoint suggests that technological improvements will, eventually, lead to a sustainable level of consumption. Resources that become scarce will be replaced through the operation of the market (Pacheco-Vega, 1999).

The assumption under this view is that any loss of natural capital should be balanced out by the creation of new ones. It assumes that natural, physical and human capital can be substituted for each other. And it equates sustainability with economic growth (Adjaye, 2005). Neoclassical view presents an assumption of limitless growth and advocates technology as an external factor in the economic system that can potentially solve all environmental problems (Jacobs, 1994). Some would argue, however, that increase in economic growth does not necessarily translate to increase in well-being.

The neo-classical ideas have been the subject of heated debate. Critics of this stance include Wallimann (1994), Pearce (1989) and Bartelmus (1987). They argue that over consumption of a common resource has no technical solution. They contend that neoclassical view thus fails to realize that natural capital and man-made capital are not substitutes. The neoclassical view of sustainability, they argue, also ignores the social, political and cultural needs of humanity as advocated by the Brundtland's version of sustainable development.

Neo classical view represents the mainstream US approach to sustainability, as evidenced in the Bush administration's objection to committing the US to the international agreement on climate change (the Kyoto agreement); advocating instead development in technology to curb the impact of industrialization and economic growth. It is worth noting

that although the Bush administration has rejected the Kyoto agreement, it has nonetheless proposed voluntary measures aimed at reducing “U.S. GHG emissions intensity (emissions per unit of economic output), but not necessarily reducing total emissions” (Stewart and Wiener, 2004). However, in July 2008, at the G8 summit held in Japan, the U.S. did a u-turn on the issue of climate change by signing the joint agreement with the rest of the G8 member countries to half carbon emission by year 2050 (BBC, 2008).

Strong Sustainability

Strong sustainability - which is sometimes also referred to in the literature as ecological sustainability - on the other hand takes a position “which accepts that non-ecospheric natural capital (minerals) can be depleted but the ecosphere must be protected absolutely – ‘there’s no substitute to the planet’ – a planet over people approach (Scottish Executive, 2006: 23).

Strong sustainability requires that there is no decline in natural capital. It regards the latter and human and man-made capital as complements, rather than perfect substitutes. Proponents of ecological sustainability “think it wrong to assume that a fall in natural capital can be fully offset by a rise in human and man-made capital” (Purvis et al, 2004: 60). “It regards natural capital as fundamentally non-substitutable through other forms of capital” (Neumayer, 2003: 24). Strong sustainability involves two distinct stages “first, contractual arrangements based on ecological criteria must be established. Only then can the standard utilitarian objective of maximising economic returns can be pursued”

(Bridger and Luloff, 2005). Table 5 below illustrates the difference between strong and weak sustainability.

Table 5: 'Strong' and 'weak' sustainability

Aspect	Strong' Sustainability	Weak' Sustainability
Focus of the pursuit of sustainability and the impetus for change.	Fundamental examination of the relationship between humans and their environment and with each other.	Concerned to prevent an environmental catastrophe which would threaten human society.
View of nature-human interaction.	Humans and nature are not separate from each other and harmony between the two is sought.	The natural environment is a resource, humans need to better master the environment to solve present problems.
What do we wish to sustain?	Other species, not just the human species are to be maintained.	The human species is what we are seeking to sustain.
The gap between the present and a sustainable future.	Present situation is a long way from a sustainable one, it is so far away it is almost impossible to imagine what sustainability looks like. The time span of change may take 150-200 years.	Present situation is near to a sustainable one, over next 30-50 years it should be reached.
Extent of change required.	Fundamental, structural change is likely to be required.	Sustainability is achievable with incremental adjustment of the current system.
Nature of the process of getting to a sustainable path.	Likely to require a participatory, transparent and democratic process. Technical fixes may generate more side effects than they solve.	Authoritative and coercive structures can be utilized (for example, market forces). Greater technological development will allow problems to be solved.
Relevance of eco-justice concerns Who is to be sustained?	Intragenerational equity is an integral and essential part of sustainability. Focus on third world conditions and aspirations cannot be avoided.	Intragenerational equity is a separate issue, sustainability focus is primarily on ecological issues, equity issues will follow from them. Primary focus is on sustaining Western populations.
Sustainable in what way?	The nature of economic growth may need to be redefined or abandoned as a level of economic development. This raises questions about how we currently measure and view development.	Sustainability of the Western civilization at, at least, the current level of economic development. There is a belief that economic development is actually essential for the pursuit of sustainability.

Source: adapted from Bebbington (2000)

The Brundtland Approach

Away from the previous two view points of sustainability is the Brundtland approach, as espoused in the publication '*Our Common Future*' aptly named *the Brundtland Report*. Authors such as Spink (1995), sees the Brundtland theory of sustainable development as a middle ground or 'a compromise' between the two previous positions of neoclassical and ecological sustainability. Spink termed the Brundtland approach to sustainability cultural relativism; this emphasised the need to consider the cultural and political aspects of sustainability. The emergence of cultural relativism according to Spink began with the publication of '*Our Common Future*' the *Brundtland Report* in 1987.

WCED (1987) and Spink (1995) view the Brundtland approach as the antithesis of the neoclassical view. The former emphasized the need to consider the cultural and political aspects of sustainability debate. However, Dresner (2002), Purvis and Granger (2004), and Bigg (2004) who may be considered as critics of the Brundtland approach, argued differently. They contend that its basis does not radically depart from the neoclassical views. The latter as well as the Brudtland approach view, they argue, rest on the assumptions of western rationality. It is merely a political compromise between the global environment management and protectionism aims of the North and the human health development needs of the South.

Dilcock's (2005), disagrees with the above assertion. He views the *Brundtland Report* as a response to both environmental and moral imperatives, which requires the consideration of intergenerational equity and equity for the present human inhabitants of the planet. "Sustainable development, therefore, recognises an inextricable link between a concern

about human welfare and concern for the human environment. The approach advocated by Brundtland, offers a fundamental challenge to the materialist and consumerist values of the majority of the developed world" (ibid: 1). Whilst the Dilcok's assertion above is true, he, however, fails to see the applicability of this in a wider context, particularly in the developing world where equal access to economic and social prosperity is one sided. The poor are perpetually marginalised while the rich ruling elite continue to prosper.

Cognitive Order View

A new view or approach is emerging away from the previous three paradigms. This is the cognitive order view. However, there is limited research and literature in this area. Cognitive order view or New Moral Order View as Spink (1999) termed it argues against uneven global development. It is seen as an alternative view to the three previously discussed. "It ascribes a sustainable future based on collective action and local communities as autonomous subjects within a self-reliant pattern of social organisation" (Spink, 1995: 3). It argues for a rethinking of development away from western rationality and economic reductionism; by re-evaluating the role of social actors in constructing and representing reality (ibid, 1995).

The view or approach taken in the understanding and analysis of the contested theory of sustainability as described above has implications for how it is implemented in practical situations. The search for appropriate framework and indicators to measure progress towards sustainability has therefore dominated research in the field in the latter part of 1990s to 2000 onward. Indicators and measures adopted thus reflect the view point adopted (as detailed previously) about sustainability as a theory. The argument during

these periods therefore, range between those who advocate for an emphasis being placed on weak sustainability and those advocating strong sustainability, in developing plans and strategies for sustainability. From the literature, however, it appears that the Brundtland approach predominates at international and at national (UK) levels in developing indicators and measures to implement sustainable development. The ranges of issues covered are discussed below.

4.4.3 Issues of Sustainability

The range of issues raised by the sustainability debate, as addressed above and at the various international conferences held to-date on the subject, can be summarised as representing the following: Economic sustainability, Environmental sustainability, Social sustainability and Institutional sustainability. These are crucial in the quest for a more balanced approach to development, particularly in urban regeneration.

4.4.3.1 Economic Sustainability

The role economics play in sustainability is vital. Fu-Chen Lo and Marcotullio (2001) emphasise the importance of economic sustainability when they wrote that it supports a level of environmental sustainability chosen by society.

“The condition of the human-made environment, such as urban infrastructure, requires massive capital investment financed by either domestic or foreign sources and makes up an important aspect of a sustainable economy. On the other hand, economic sustainability, to a large degree, is also determined by environmental sustainability. Clean water and air are the prerequisites for efficient industrial development. In addition, the human-made environment is an important determinant in attracting foreign capital inflows. Environmental quality is a pull

factor for foreign capital. Therefore, environmental sustainability is an important part of the foundation of economic sustainability, and vice versa" (ibid: 68).

Berke and Conroy (2000) stress this further by saying that if economic development values are not represented fully in sustainability, then the fundamental source of community change and improvement is denied.

Following from the arguments presented above, the zero growth philosophy advocated by some environmentalists cannot be sustained. Economics and economic development are therefore crucial to achieving and sustaining sustainable development. The latter point is reinforced by De Lannoy et al (2001) in their argument that the growing weight of human poverty demonstrates the continuing need for the expansion of economic opportunity.

In fact, some definitions of the theory of sustainable development are entirely based on the notion that successful economies will solve the world problems through sustained economic growth. This is evidenced in the writings of Banerjee (2000) who calls this approach a neoclassical view - as argued in the previous section.

There is an element of truth in this claim, because economic growth and expansion can provide countries with the sustained ability to improve their quality of life and their surrounding environment. Constant improvements in technology and industry can be argued to be continuing to build economies towards a sustainable future.

The issue however, is how economic growth should be achieved. For instance, should environmental concerns be ignored in the quest for economic advancement? The answer, following from the logic and arguments put forward by the sustainability debate, is no.

Common sense will dictate that environmental and economic aspects of sustainability must complement each other. Mark (1998) posits that this, therefore, requires individuals, institutions and corporate bodies to incorporate the cost of using scarce resources. This is necessary if economic sustainability is to be achieved. Carroll and Stanfield (2001) equally emphasise the latter point by stating that economic development programs, for instance, must be cognizant of generating sustainable development, sustainable not just from an ecological point of view but also from the viewpoint of preserving economic and social integrity.

Harris (2000) further posits that “an economically sustainable system must be able to produce goods and services on a continuing basis, to maintain manageable levels of government and external debt, and to avoid extreme sectoral imbalances.....” One area of concern where the pursuit of economic development could foretell damages is in the environment. This is the subject of the next section below.

4.4.3.2 Environmental Sustainability

There is a link between economic sustainability and the environment, as argued by the OECD (1997). The latter affirms that investment in the urban environment is critical to provide a stable place for private sector investment, reducing degradation and leading to the creation of jobs and wealth.

Whilst there are strong arguments made - as described in the section on economic sustainability above - for the economic aspect of sustainability theory to be emphasized in developments, environmental protection and concern are one of the foremost concerns to

be addressed. This is because “historically, all models and strategies of development ignored the effect of economic activity on the environment” Kusterer et al (1997: 237).

OECD (1998) gave an example of the negative impact of economic development and prosperity on the environment. They wrote that “industrialisation has increased emissions of Green House Gases (GHG) from human activities, disturbing the radiative energy balance of the earth-atmosphere system. These gases exacerbate the natural greenhouse effect, leading to temperature changes and other potential consequences for the earth's climate” (ibid: 1998: 13).

Ola (1999), offers the following as examples of the negative impact of development, particularly tourism, on the environment, congestion; overdevelopment; pollution; heritage degradation; litter; erosion; damage to landscape and biodiversity, and crime. It can also generate conflict with residents; global warming and greenhouse effects; and acid rain and ozone layer depletion.

Environmental protection therefore, according to Contex Institute (1996), is comprised of activities designed to preserve the productive capacity of a country's natural resource. This involves the monitoring and controlling of environmental pollution, conservation and efforts at the recovery of natural resources, and ecological thinking. Ecological thinking is an understanding of human interdependence with each other and of all life forms.

Various definitions of sustainability acknowledge the incompatibility of all of human activities and lifestyle on the environment. Breheny (1992) wrote that the major

consumers and producers of pollution and waste are the world's largest cities. And, as a result, responses to unsustainable development should be eagerly dealt with by the cities; as they are responsible for the most intense environmental damage the world is experiencing (Jenks et al, 1996).

Many authors have therefore come up with various solutions to address the problem of environmental damage caused in urban cities. For instance, Jenks et al (1996) suggested the concept of compact city as a solution to the present day environmental problems. This idea has gained wide-spread support amongst many policy makers.

The idea of mixed-use development is perhaps the best way to demonstrate how the idea of compact city or sustainable city can be achieved. The latter is defined as “a finely grained mix of primary land uses, namely a variety of housing and workplaces with housing predominant, closely integrated with all other support services, with convenient walking distance of the majority of houses” (Murrain, 1993:86).

Murrain's definition of sustainable city assumes that a city is a self-contained community where people live within reasonable walking distance of the local shops and amenities. Therefore, the concept of access to daily needs provides measurable indicators of the extent to which settlements provide social and economic sustainability for urban residents. For example, mix of shops, access to employment, schools, health services, public phones, recreation spaces and amenities for different age groups, access to the wider city and/or the rural area. Gibson (1993) visualises a sustainable city as follows:
at the centre: there is a fine-grained mix of uses - shops, cafes, offices, homes, etc.

at the edges: this is where larger land-users are located - public parks and large sports facilities, commercial and industrial activities, large educational campuses.

Gibson's analysis is therefore suggesting that the closer to the centre the facilities requiring large land use, the more disruption there is to permeability and access to amenities. And as he put it "the major ingredient, essential for success, is a relatively high density residential component providing market stability for social and economic activities" (Gibson, 1997:12).

Ola (1998) argues that "whilst the above analysis contain some element of truth, it is however pessimistic in its view. For example, the notion that activities requiring large use of land should be located at the edges seems to negate the whole idea of sustainability. This is because, the further away from the reach of residents 'these large sports facilities and educational establishment', the more travel will be needed and generated to access them. Equally, the location of facilities requiring large land use in the centre, should not necessarily disrupt permeability....., if proper design guidelines are followed; and most importantly, if good access to public transport is available" (ibid: 8)

The line of argument in this section of the study is that good mixed-use promotes a sustainable environment. What therefore are the qualities or fundamentals of good mixed-use? The first thing that comes to mind is permeability; this is one area where most people are in agreement. Any meaningful and democratic sustainable urban form must be permeable. This is sacrosanct, because, as Murrain put it "if you can't reach a place you cannot use it" (Murrain, 1993:88).

Good mixed-use is a challenge and to “achieve this in physical terms there are two fundamental qualities necessary: permeability and variety. As sub-heads under variety we need concentration and proximity. From the combination of these qualities we already will have a great deal of legibility, namely an understanding of what is available.....We need robust built form that can easily adapt to a reasonably predictable range of alternative future” (Murrain, 1993:86).

Banister (1998) concentrates on the motorized transport in a developed economy to illustrate the negative environmental impact associated with this development. He argued that 30% of energy consumption in the U.K. is through transport, and trip length is growing rapidly. The last 40 years has seen an increase of 40% in trip length. In a nutshell, we are travelling more and producing more pollution. Roelofs (1996) on the other hand suggested that as well as cars’ environmental degradation, it also has a social consequence, in that those who do not drive become “second-class citizens, and for everyone cars and roads separate neighbours and prevent intermingling” (ibid: 14). This leads to the next section, which deals with the social aspect of the sustainable development debate.

4.4.3.3 Social Sustainability

Meyer (2000), contends that the definition of sustainability prior to the UN-Conference on Environment and Development in Rio de Janeiro in 1992 was closely connected to environmental and resource depletion problems caused by consumption patterns. Burton (2001), whilst not saying that the social aspect of the sustainability debate has not been discussed prior to 1992, however agrees that it has received the least attention in research,

particularly, social justice issues. She affirms that instead, empirical research has focused on environmental sustainability. O'Hara (1995), on the other hand contends that the social context of economic activity is neglected in most discussions of sustainability. According to her, the challenge is the recovery of the link between social and ecological contexts of sustainability.

Meyer's observation runs contrary to the position taken in the 1987 *Brundtland Report*, which was primarily concerned with securing a global equity, redistributing resources towards poorer nations whilst encouraging their economic growth. The report also suggested that equity, growth and environmental maintenance are simultaneously possible and that each country is capable of achieving its full economic potential whilst at the same time enhancing its resource base. The report also recognised that achieving this equity and sustainable growth would require technological and social change (internet, undated 1).

However, the 1992 Rio Conference on sustainable development widened and focused more on the social dimension and human development of sustainability. The latter conference is famously referred to as *Agenda 21*. Section one of the latter document is devoted to the social and economic aspect of sustainability. Human settlement objectives of sustainable development are set out in the document as improving "the social, economic and environmental quality of human settlements and the living and working environments of all people, in particular the urban and rural poor" (UNCED, 1992: 45).

Since 1992, various definitions of social sustainability have been offered. Adamo (2003: 2) defined the term as "the capacity of maintaining certain population with certain living conditions for a long time, and as the ability to endure stress due to external changes

(political, economic and environmental).....” Martin et al (2005) defined social sustainability using western Australian Government’s Sustainability Unit’s version which defined it as occurring when the formal and informal processes, systems, structures and relationships actively support the capacity of current and future generations to create healthy and liveable communities. Socially sustainable communities are equitable, diverse, connected and democratic and provide a good quality of life.

There is a general awareness and consensus in the literature that the poor are worst affected by environmental problems - such as noise and air pollution from traffic, lack of amenities, unhealthy housing and lack of open space. The poor are equally the least able to solve these problems. Vidal (2005), reporting on World Banks report on the environment wrote in the guardian newspaper that “almost a fifth of all ill health in poor countries and millions of deaths can be attributed to environmental factors, including climate change and pollution, according to a report from the World Bank.

Unsafe water, poor sanitation and hygiene as well as indoor and outdoor air pollution are killing people and preventing economic development. In addition, says the bank, increasing soil pollution, pesticides, hazardous waste and chemicals in food are significantly affecting health and economies.

Martin et al (2005), therefore advocated social sustainability as a way of ensuring equity, diversity, interconnectedness, quality of life, democracy and governance. In terms of equity and quality of life, social sustainability can be achieved by integrating people’s basic social needs as well as healthcare, employment and housing programmes with environmental protection. Jobs which contribute to the sustainability of the community

and thereby reducing unemployment need to be created. And, when seeking to attract or create jobs an assessment of the effects of any business opportunity in terms of sustainability should be made in order to encourage the creation of long-term jobs and long-life products in accordance with the principles of sustainability. This is because inequitable distribution of wealth both causes unsustainable behaviour and makes it harder to change.

Achieving social sustainability therefore requires that those at the lower end of the economic scale and those at the grass root level are able to participate in decision making, and are supported to do this. As Mark (1998), wrote “the word sustainable has roots in the Latin *subtenir*, meaning ‘to hold up’ or ‘support from below.’ A community must be supported from below - by its inhabitants, present and future. Certain places, through the peculiar combination of physical, cultural, and perhaps, spiritual characteristics, inspire people to care for their community. These are the places where sustainability has the best chance of taking hold” (Mark, 1998, quoting from Muscoe, 1995:2).

According to Friedmann (1995), if a sustainability approach is going to be widely accepted, a social learning approach has the greatest success. Direct community involvement is a delicate and time consuming process. Experience has however, shown that without community involvement projects are difficult to implement successfully and are even more difficult to maintain once direct project aid has ceased (Friedmann, 1995). Achieving social sustainability requires strong institutional capacity as discussed below.

4.4.3.4 Institutional Sustainability

Institutional sustainability is one of the central political challenges of sustainability according to Conca (1996), who sees the need to design institutions that facilitate sustainable ways of living. This requires that those existing institutions such as GATT and IMF that drive unsustainable practices be altered and redesigned. This is due to their lack of sets of roles and rules that would facilitate the peaceful resolution of trans-national environmental disputes and the absence of coordination mechanisms to insulate local communities from the effects of international capital mobility and industrial relocation (Ibid).

As the production base of the economy changes, institutional factors are the what determines the degree of equity and sustainability of development. Thus, in order to achieve environmental sustainability, the institutional framework will have to be adjusted (UNECLAC, 1991).

Without institutions, the theory of sustainability cannot work. It is, therefore, essential that institutions play an important role in determining the sustainability of development. Institutions encompass all those norms and relationships (i.e., decision-making systems) which make it possible to expedite and consolidate changes in production patterns while promoting greater social equity (UNECLAC, 1991).

UNCED (1992) identified the institutional dimension of sustainability. *Agenda 21* contends that the lack of institutional capacity can have a fatal effect on attempts to move towards sustainable development. The institutions involved in the process of developing

and implementing sustainable development need (amongst many other things) the capacity to:

- integrate policy across sectors;
- engage the public in a meaningful process of education, awareness raising and sustainable development policy formation;
- instigate a review of internal processes and attitudes

Failure in any of these, or many other institutional areas of action, can in the worst case, lead to distrust and a worsening of the urban situation (UNCED, 1992). These institutions spread across a wide area of activities, in the local, regional, national and international/global arena.

4.4.4 The Relevance of Globalisation Theory in Sustainability

There are two important questions which need exploring for an answer as relate to the above. In light of the contested nature of globalisation, is the theory relevant and compatible with the theory of sustainability? Ikeme (1999) is of the opinion that globalisation and sustainability are two desirable paradigms which appear to have some opposing tendencies within them. That being said, a symbiotic relationship nonetheless exists between the two paradigms. For instance, the issues sustainability attempts to address are global in nature, as they affect everybody in any part of the world, from Asia and Africa to Europe and America. These issues cover a wide range of areas from greenhouse effect, deforestation to nuclear hazard. These issues cut across national boundaries and thus require global co-operation and answers to tackle them (Zoeteman,

2002). Some of these issues are brought about as a result of continuing global economic development. This is captured by the IIED (2000), when they wrote that the continuing international interactions are having profound effect and are transforming the prospects for achieving sustainable livelihoods among the world's poor and regenerating natural systems for future generation. As a result of globalisation, decisions and measures taken in one part of the world have effects on the lives of individuals and communities elsewhere

Taking the above assertion at face value, globalisation theory is thus central to the debate on sustainability. The 1987 *Brundtland Report* made the theory an international global political debate. The link between sustainability debate and globalisation was also strongly emphasised at the 1997 United Nations General Assembly Special Session on sustainable development. The debate emphasised the opportunities and threats inherent in this linkage and therefore advocates for greater effort at addressing the impacts of globalisation on sustainable development.

The issue confronting the world is therefore on how to strike the right balance between the demand of sustainability and the goals of globalisation. This would require that the global economy is restructured to make it socially, economically and ecologically sustainable (Council of Europe, 2003).

In order to capture this point more poignantly and to fully appreciate the enormity of the issues involved, the definition of sustainable development (a Brundtland approach to achieving sustainability) will be offered. Sustainable development as defined in the *Brundtland Report* is the most widely used definition of the theory; and it states that,

sustainable development is development that meets the needs of the present without compromising the future generation's prospect of meeting theirs (WCED, 1987).

The above definition is further clarified in the same publication by stating that "in essence, sustainable development is a process of change in which the exploitation of resources, the direction of investments, the orientation of technological development, and institutional change are all in harmony and enhance both current and future potential to meet human needs and aspirations" (ibid: 44). The central tenet of these definitions is the notion of equity and fairness of access to basic resource needs of everyone, in the present and the future. The challenge therefore is to ensure that all human communities, including the most deprived, meet their fundamental needs – for accommodation, drinking water, food, satisfactory conditions of health and hygiene, participation in decision-making, social cohesion, a social fabric, cultural and spiritual expression, etc. This entails the adaptation of technologies and lifestyles to the social, economic and environmental potential of each region, internalising costs and establishing systems that are compatible with the biosphere (Council of Europe, 2003).

As previously highlighted, there are two opposing camps on the debate about globalisation. Of the two camps, the arguments espoused by the opponents of globalisation suggest that it is incompatible with sustainability and sustainable development. To illustrate this, sustainable development advocates fairness and equity in the distribution of earth's scarce resources, both for present and future generations. It also calls for prudence in the use of earth's finite resources. At the other side of the argument, globalisation in the 21st century is marked by the process of continued global economic, cultural, political and environmental interdependence, with some nations emerging as

winners (whilst some are worse off), maintaining hegemony over others in these areas of convergence (Dunklin, 2005 and Mitra, 2001).

Akindele et al (2002) go further by saying that globalisation affects developmental thinking and actions of the developing polities. It relegates ethical equity and social concerns behind market consideration and reduces the autonomy of the independent states.

Proponents of globalisation on the other hand would argue that economic liberalisation will create opportunities for the least developed nations to begin to participate in global trade. Globalisation is a positive force which will speed the development of developing countries. It will improve their material well-being and aid in the creation of better economic environment and improve their access to technology. And in the developed economy, globalisation from economic standpoint, will boost growth and will rise social welfare through a more efficient allocation of resources (see Mowlana, 1998; Grieco and Holmes, 1999; Ohiorhenuan, 1998; and Oyejide, 1998). There are a host of issues identified by both the pro and anti globalists on the impact of globalisation on the developing countries. However, as this study is centred on the developed economy, the issues of globalisation and its impact on sustainability will be limited to the advanced economy.

From an economic theory perspective, globalisation will boost growth and increase social welfare through a more efficient allocation of resources. In other words, globalisation will equalise the price of products and production factors. Free trade will lead to a more efficient allocation of world resources as competition will shift production to the

producers with the lower production cost. This more efficient allocation of resources will boost growth with positive effects on social welfare (Internet, undated b). Critics such as Agnew (2001), however, are quick to point out the negative implication of the argument above. They contend that globalisation gains are not uniformly distributed across individuals, regions and countries. Equally, they assert that economic benefits attributed to globalisation will take longer to materialise. Furthermore, globalisation tends to have a negative impact on employment. This is because skill-biased technological change will reduce the demand for unskilled workers leading to a higher and long-term unemployment among unskilled workers in the developed economy. Allied to this, is the issue of international outsourcing, which can lead to low demand for labour in the developed countries (Ibid, 2001).

Nonetheless, the developed economies stand to benefit more from the opportunities globalisation has to offer. For example, through multinational companies, which are predominantly owned by the developed economies, countries such as the US, the UK and a host of other European countries are able to spread their tentacles in the developing countries. The latter countries have begun to join the trend of liberalising their economies. However, they lack the resources and the technological strength to take advantage of the liberalisation, thus opening up their markets to the multinational companies, owned and operated in the developed economies. Profits earned by these multinational companies are repatriated back to their headquarters (usually in the West). Mitra (2001) argues that this unequal phenomenon is characteristic of globalisation.

Opponents of globalisation, such as Osland et al (2003) and McIntosh (2003), on the hand envisage a different scenario in terms of the effect of economic globalisation on

sustainability. They contend that through economic globalisation there is increase in the use of fossil fuels which then result in global climate change. This they believe will create nationally economic costs to reduce greenhouse gas emissions and protect the territory against flooding, increased pollution or desertification. It is also true that improved technology in the area of the environment is contributing to better and safer environmental practices, which are readily spread across the globe through improved technology and efficient transportation (Baker, 2008).

However, allied to this negative impact of globalisation on sustainability is the effect of the volatility of the global circulation of capital searching for rapid profits and destabilising national economies. The recent near collapse of the world economy which started in the US is a very recent and poignant example of the negative impact of globalisation on sustainability. The ramification of this collapse has economic and social consequences, at the global, regional, national and at local levels. The economic ramification is manifested in job losses across all sectors of the economy, business closures, etc. On the social side, the economic melt-down has resulted in unemployment of thousands of people, which in turn has given rise to marriage and family break-ups, etc.

Critics of globalisation contend that the recent near economic collapse of the world economy was brought on by lack of adequate regulation of the markets. Crucially, globalisation is fostering greater mobility of goods, service and people across the globe. The unfortunate consequence of this free passage of people and goods is the transfer of communicable diseases such and HIV/Aids, etc. Globalisation also has negative effect on the political front, namely that it has the ability to erode the sovereignty of a state. This is

most visible in the areas of economic and financial matters. It is argued that the world international organisations, such as the World Bank, the International Monetary Fund and the World Trade Organisation are to blame for this erosion of sovereignty. This is because they impose their models, strategies and policies of development on nation states (DPMF, 2002).

On the cultural front, globalisation promotes integration and the removal of cultural barriers. Proponents would therefore argue that it is a step towards a stable world and better lives for the people in it (Rothkop, 1997). On the other hand, it is leading to conflicts between nations promoting different value systems. The current state of impasse between the US, Britain and certain Islamic entities is a prime example of the negative impact of globalisation on culture. Certain Islamist countries, notably Iran (and certain individual Islamic organisations – Al Qaida), consider the influence America has on their culture intolerable. They see the US as imposing its values on the rest of the world, which to these groups are to be rejected. More poignant of their grievance is the US military intervention in Afghanistan and latterly in Iraq.

The September 11th 2001 bombing of the World Trade Centre in the US is seen by many in the West as well as in the Arab world as the result of clash of two civilisations. It is widely believed that the event of the above period was a result of the US cultural, economic and political domination, which the Islamist fundamentalists (as some referred to them) were rejecting. This is being manifested in terrorist bombings of American and British interests globally.

From the analysis done thus far of the two paradigms of globalisation and sustainability, it would appear that they are at opposing ends, in certain areas, whilst mutually reinforcing in others. Globalisation and sustainability should be mutually reinforcing. To achieve a symbiotic relationship between the two would require an innovative approach to developing an understanding of the two theories, to devise ways of enhancing their benefits.

The question therefore is on how to counter the negative impacts of globalisation, whilst maximising the potential benefits it offers. The solution some would argue lie in exploring the theory of sustainability, from various levels (i.e. local, regional, national and internationally) to find answers. This would require that all stakeholders (at community level through to the global level) are engaged both in research and in action to find answers. However, in recent times, there have been concerns that the only superpower (the US) with the might and resources to lead in the quest for a sustainable global future has not been fulfilling this role. For instance, a BBC panorama programme on Sunday, 4th June 2006, reported that prominent scientists in the US alleged that the Bush administration edited and suppressed scientific evidence pointing to global warming as a result of human activities.

Ironically as the Bush administration was being accused of ineptitude in the area of working towards sustainability through cutting down on green house emission in the US, one of the largest states in the country was spearheading an effort at controlling green house emission. Governor Arnold Schwarzenegger of California, a Republican and Democratic leaders, it was reported was getting behind measures to curb greenhouse gas

emissions by forcing California businesses to measure how much they emit, and establish ways to limit them.

This development in the US reinforces the view that efforts can be mounted towards achieving sustainability at any level of government. It is particularly more effective at the local level of activity (at the local authority level), if the grass root, and community groups come together in an effort to act sustainably. To achieve this, however, would require a shift in attitude from 'business as usual' to a new way of thinking. In academia on the other hand addressing the issues of sustainable development would call for a new theoretical framework rooted in suitable epistemological and methodological frameworks, which recognise the interconnectedness of all senses (subjective, objective and experiential), as offered by participatory inquiry paradigm, and action research methodology. "A true social science will integrate subjective (first-person), inter-subjective (second-person), and objective (third-person) inquiry in on-going real-time, for the sake of developing all humans' capacities for inquiring more and more of our time how to act in a timely fashion." (Sherman, 2000, in Torbert et al, 2001: 3).

One crucial question arising out of the above statement is on how or what impact can local action play at achieving global sustainable development? Despite the perceived benefits of global action (through international agreements) in achieving sustainability as highlighted throughout this study, a doubt is beginning to emerge from some quarters as to whether, this is the best way forward. Emphasis is beginning to shift to the role of local actors at realising sustainability. Two of such proponent are Yanarella and Levine (1992), who opined that global or national-scale strategies tend to prevent effective political action at achieving sustainability. They reasoned that at such high levels of activities, the

scale of change required is so huge that problems of co-ordination and co-operation across political units are bound to be enormous.

Other schools of thought on the inadequacy of global approach concerns the 'top level' approach in which international global agreements address the issue of sustainability. Critics of this approach argue that it leaves relations of domination in place. Hines (2003), who could be considered a critic of this approach, termed this corporate globalisation. By this he means that those who control the resources and in many cases who are also the ones responsible for many of the decisions and actions that have wreaked havoc on the environment are also the ones dictating solutions to the problems they caused. The result, according to Bridger and Luloff (2005: 5), "is a crisis mentality which relies on technological solutions for use as band-aids to temporarily patch larger structural problems." Continuing, Bridger and Luloff believe that approaching the problem from the above perspective, sustainability on a global scale might actually strengthen the economic and social conditions which support unsustainable practices. Yanerella and Levine's (1992: 766) claim on this supports Bridger and Luloff (2005) above when they wrote that "...especially when such 'band-aid solutions lead to situations where these deeper ecological problems fall below the threshold of public attention and the political momentum for more fundamental change is allowed to dissipate."

By contrast, however, if the issue of sustainability is addressed at the local level, it is more than likely that changes will be seen and felt in a more immediate manner. This is because it is at the local level of social organisation where the consequences of environmental degradation are mostly felt and where successful intervention is most noticeable (Yanerella and Levine 1992). Hines (2003: 25) furthered this when he wrote

that “the only effective counter to corporate globalisation is to reverse the present organising principles of national and international governments and bodies. The route to such a fundamental change is the process of localisation, which has local self-reliance and the potential to increase self-determination at its core.”

4.4.5 Policy Implication of Globalisation and Sustainability on the Regions, Nation-States and Localities

In Section 5.3.2, the relationship between globalisation and the regions, nation states and localities were analysed. This sets the framework for this section of the study, which assesses how globalisation has impacted on policy development and interpretations of sustainability at the different levels (regions, nations and localities). These layers of government for the purposes of this study can be conceptualised as grand level (global and regional – EU), meso level (national – UK), and substantive level (local – Havering). The question, therefore, is, what does global sustainability mean for the regions, nation state and localities in policy terms? In Europe, the sustainability principle was inscribed in the major articles of the EU Treaty of Maastricht in 1992 and further clearly reinforced in the EU treaty of Amsterdam in 1997 (Zoeteman, 2002). Regionally, in terms of the policy response to the global challenges in the area of environmental sustainability, the EU recognises that the growing global population and rapid growth in the world economy are placing increasing demands on the environment. In doing so, the EU developed a sustainable development strategy with input from all participating member countries, including the UK. In the strategy document, it proposes four key policy objectives designed at addressing the global challenges of sustainability. One of these objectives is specifically related to meeting the EU’s international responsibilities in the area of

sustainability. This objective is designed to encourage the establishment and defend the stability of democratic institutions across the world, based on peace, security and freedom. And to “actively promote sustainable development worldwide and ensure that the EU’s internal and external policies are consistent with global sustainable development and its international commitments” (Council of the EU, 2006: 4). The other three key policy objectives as identified in the EU’s sustainable development strategy, which recognise the global and international dimension of the sustainability issues are, commitment to social equity and cohesion, economic prosperity and environmental protection. On the latter, the EU recognises that there is now strong evidence to suggest that climate change is affecting the basic elements of life for millions of people. If no action is taken to reduce emissions of greenhouse gases, then global temperatures could rise over 2 degrees celsius from pre-industrial levels by the middle of the century, with the possibility of an increase of up to 6 degrees by the end of the century (Council of the EU, 2006 and Cabinet Office, 2007).

The EU policy response to this global challenge recognises that it alone is responsible for around 15 per cent of the world’s total emissions (Ibid). It therefore proposes, that the world should limit global temperature rise to no more than 2 degrees above pre-industrial levels. This would require that emissions be reduced to less than 50 per cent of 1990 levels by 2050. In leading a global response, the EU is pressing for ambitious commitments in international negotiations, promoting cost-effective abatement through the development of a global carbon market, taking domestic action and encouraging early innovation (Ibid).

At the nation state level (the UK), for example, the government has responded to the challenges of sustainability by proposing various policy initiatives. These initiatives are guided, foremost, by the global sustainability agenda, and then by the regional (EU) sustainability agenda. In meeting its international and regional obligation on sustainability, the UK government is one of many governments across the globe that committed to the sustainable development at the Rio summit in 1992. The UK government was also the first to produce its national strategy on sustainable development in 1994. And, in 1999, the UK government then outlined how it proposed to deliver sustainable development in its published strategy document titled 'A Better Quality of Life'. The latter sets out a vision of simultaneously delivering economic, social and environmental outcomes as measured by a series of headline indicators. These policy initiatives and indicators were guided by the international and regional (EU) sustainability agenda. Since 1999, a number of publications have been commissioned and published by the UK government, evaluating the country's performance against the sustainable development indicators set. It has also carried out a number of consultations, with various stakeholders, including local governments and devolved regional authorities (Regional Development Agencies). As a result of these and the international push for sustainable development from the World Summit on Sustainable Development in Johannesburg in 2002, the Millennium Development Goals set out in 2000, which was reviewed in 2005, and the EU agenda for sustainable development, the UK government then produced a new sustainable development strategy in 2005 covering the period up to 2020. The new UK government sustainable development strategy was based on the international definition of the sustainable development theory "development which meets the needs of the present without compromising the ability of future generations to meet their own needs" (WECD, 1987: 43). It was also based on the key objectives that the European Union's Sustainable

Development Strategy (EU SDS) has set out to tackle, which are climate change, natural resource protection, sustainable transport, ageing population, public health and the global dimension of sustainable development. The outcome of the UK sustainable development strategy was therefore five key central aims, namely commitments to living within environmental limits; ensuring a strong, healthy and just society; achieving a sustainable economy; promoting good governance; and using sound science responsibly (HMSO, 2005).

These aims and commitments were to guide the localities in their pursuit of the global sustainability agenda. The government maintained that sustainable development will be achieved in localities (local government areas) through encouragement and through legislation. These come in the form of joining up effectively at the local level around the vision of sustainable communities with Sustainable Community Strategies and Local Area Agreements (LAA), linked to planning through Local Development Frameworks (LDF); and placing sustainable development at the heart of the land use planning system and at the core of new planning guidance.

At the localities level in the UK, although, there is emphasis placed on the global, regional and national agenda for sustainability, which local governments are legally required through the *Local Government Act 2000* to develop; this is however, in recognition that each local government area will address issues relevant to their local needs, but aligned with the global sustainability challenges. In terms of the economy of the local areas that need to survive in a very competitive global economic environment, there is now a recognition that localities would need the tools and incentives to build on their indigenous assets to respond quickly to the ever changing global economic and

environmental circumstances if they are to survive in a competitive global market. As such, communities would pursue locational policies to lower production of cost relative to other cities through tax incentives or other subsidies for businesses. In the UK, the local government, for example, are pursuing community policies, developing innovative production capacities to gain a niche in the global economy through various means, such as, public-private partnerships, encouragement of research and development, and efforts to attract inward investment. In Havering, for example, the Council is pursuing a number of policy initiatives to develop local skills for sustainability. In other word, the Council is pursuing a rigorous inward investment strategies combined with developing the skills of its residents in readiness to take advantage of jobs that may be relocated to Havering as a result of businesses coming to invest in Havering.

4.4.6 Summary

The issues raised by the sustainability debate as understood from various perspectives critically discussed in this section, in practical terms for policy makers (particularly at the local government level), can be summarised as representing the following:

- Environmental protection

Environmental protection represents limiting human activities that could damage or overload the earth's carrying capacity. According to Stoker and Young (1993), it is governed by limits which policies and measures should not exceed or the environmental capacity will be reduced. One of the measures required to minimize environmental

damage includes managing climate change, through reducing emissions of greenhouse gases (CO₂).

- Quality of life

Both the *Brundtland Report* and the *World Conservation Strategy* call for the quality of life to be improved (WCED, 1987 and IUCN/UNEP/WWF, 1980). At the meso level, the UK government in 1998, translated this to mean that, sustainable development is about ensuring a better quality of life for everyone, now and for generations to come (DETR, 1998). This can be achieved through making urban areas more attractive and desirable to live. In the London Borough of Havering for example, the *Havering Community Strategy*, which represents the borough's commitment to the sustainable development agenda, stated that quality of life is an integral part of sustainable development. In this sense, it strives towards maintaining an attractive and a desirable environment for people to live and work in Havering. This, it believes can be achieved through community safety measures, high quality design, economically viable Havering (sustainable and quality jobs) and improved integrated transport system (LBH, 2002).

- Participation of all stakeholders in decision making

"Public participation in decision-making and policy development processes is key to ensuring equitable sustainable development. Including public concerns in policies and programs ensures that they are all-inclusive and meet the needs of everyone in society" (Internet 3, undated). Above all, participation of all stakeholders in decision making is required to help gain acceptance of sustainable development measures proposed. It can

also serve as a way of educating or building the capacity of the relevant parties so that they may continue to participate in policy development and decision making.

- Equity

Sustainable development as advocated by the *Brundtland Report* was concerned with securing a global equity. That is, redistributing resources towards poorer nations whilst encouraging their economic growth. The report seeks equity in health, wealth and accessibility. It also suggested that “equity, growth and environmental maintenance are simultaneously possible and that each country is capable of achieving its full economic potential whilst at the same time enhancing its resource base. The report also recognised that achieving this equity and sustainable growth would require technological and social change” (Internet 4, undated).

4.5 Conclusion

In this chapter, I proposed two levels of abstraction, namely, globalisation theory, and sustainability theory. This sets the framework for the development of the third level of abstraction in Chapter Five following the data analysis. The three levels of abstraction are conceptualised as grand theory, meso theory or middle range theory, and substantive theory respectively; and the linkage between these levels of abstraction is established to contribute to the debate in sustainability and sustainable development debate at different levels of activity. Furthermore, an idealised model for developing a plan for sustainability is being proposed in Chapter Six as part of the practical contribution of this study to the London Borough of Havering’s policy development. The validity of the idealised model

proposed is being tested through carrying out a multi-criteria analysis of the published *Havering Community Strategy*. This is in order to demonstrate its usefulness in the development of an appropriate framework in formulating and developing a sustainable development policy or strategy document at the local level of government; as well as in the evaluation of a real life sustainable development policy document. The result of this exercise is appended as Appendix A.

CHAPTER 5: ANALYSIS OF THE FACTUAL FINDINGS

5.1: Introduction

The aim of this study was identified in Chapter One as seeking ways of translating sustainability and sustainable development aims and objectives into practical means in a local government setting, using London Borough of Havering's Community Strategy as a case study. In order to achieve the aim of the study, action research has been chosen as the most appropriate methodology to investigate and conduct the study. Chapter Three addressed the methodological framework for the study in greater detail.

Attempts have been made to gather data in this study that could answer the research questions posed in Chapter One. The literature review in Chapter Two assisted in the latter effort. Based on this and the data analysis strategy discussed in Chapter Three, the present chapter thus presents and analyses the data collected throughout the study to develop the substantive theory promised, and to see whether the research questions and issues identified could be answered. Firstly, however, the process of data analysis is once again described, followed by the coding procedure of all data collected before the results are presented.

All data gathered for the study were analysed together; this was because data sources were multiple (semi-structured interviews, survey, documents, observation and focus group interview). According to Glaser & Strauss (1967) and Merriam (2001), one of the most suitable methods of analysing multiple data sources together is inductive analysis. Coding for this study was thematically organised and it started with analysis as soon as

data collection began. Detailed data collection began during the focus group events, and after the first analysis of the focus group occurred, when a number of themes emerged. Some of these had helped in the subsequent analysis of the semi-structured interview, documents and the survey data.

In continuing the coding process, I transcribed all transcripts of the interviews in their entirety. I began to gain further ideas of the emerging themes and concepts as the latter process began. Once the raw data had been transcribed and prepared, the transcripts were read in their entirety. However, there were data that served no purpose, in that they could not contribute to the study's aims and objectives in any meaningful way. Although these data were looked at, they were not however treated with any significant attention.

Sections, paragraphs and pages of text in the transcripts were highlighted and coded. From the latter exercise emerged a preliminary list of coding categories. There were, however, a priori coding categories developed from the focus group workshops and the study research questions; these were subsequently merged or deleted where required as new themes and categories emerged from the interview and documents analysed (Mertler, 2006; Thomas, 2003). The analysis process as described above was an iterative process in which I move back and forth between the raw data and categories created looking for common themes and patterns. In other words, as categories were generated, they were constantly compared, refined, deleted, added or merged until a saturation point was reached. Writing was part of this process, as I continued to create memos and meanings of themes and categories developed. The latter exercise aided the final interpretation of the themes developed.

As a result of the process of constantly comparing, refining, deleting and merging categories, there were 85 categories that were generated which were later reduced to seven major themes. It was felt that the majority of the 85 categories could be represented under seven major themes. However, the categories that were merged were treated as key issues under the seven major themes that were considered major themes in sustainability, sustainable development and globalisation. For example, 21 of the 85 categories that emerged from the text units in focus group, interview, document, participant observation journal and survey questionnaires were labelled/categorised as: 'Participation', 'Democracy', 'Influence', 'Community Area Forum (CAF)', 'Domination', 'Equity', 'Capacity building', 'Safety', 'Crime', 'Involvement', 'Welfare', 'Consultation', 'Accessibility', 'Apathy', 'Engagement', 'Inclusion', 'Education', 'Training', 'Lifelong learning', 'Representation', 'Health'. These 21 categories appeared to be on a continuum of social sustainability; that is, the meaning of the 21 categories and their associated text units (passages of raw data coded with these categories) resembled and represented the key issues of social sustainability. As a result, the categories were merged under a newly created major theme named 'Social well-being'. The same approach was applied to the remaining 60 categories which later fitted well and became 'categorised key issues' under the six major themes of: economic well-being, environmental well being, partnership working, joined-up working, communication, and community leadership. An example of how the procedure above was carried out for the emerged **Social well-being** theme has been presented as an **Appendix E**. Similar procedure was applied to the remaining six emerged major themes. Overall, the emerged seven major themes and their associated categorised key issues are depicted in Tables 6 to 12 below, after a detailed analysis had been carried out.

5.2 Social Wellbeing

Social well-being refers to developing formal and informal processes, systems, structures and relationships to actively support the capacity of current and future generations, to create healthy and liveable communities. This will assist in ensuring that communities are equitable, diverse, connected and democratic and that there is provision for a good quality of life for all. Supporting the capacity of communities and ensuring that everyone has a say in how decisions are made is central to achieving social well-being.

There is strong evidence that issues associated with social well-being were being addressed in Havering, based on the analysis of all data collected. For example, on the issues of participation, inclusion and community involvement of all stakeholders in Havering in decision making, the HSP had a number of sections dedicated to these issues in its published community strategy document. For example, the 2005 *HCS* stated that:

The HSP will strive to increase the diversity of people actively involved in and contributing to the development of sustainable communities.

- promote an inclusive community and develop the infrastructure for black and minority ethnic and other minority involvement;
- increase community involvement and boost civic pride;
- develop a strong and independent community and voluntary sector; and
- develop solutions to barriers to voluntary sector development, including capacity and premises limitations.

The earlier version of the *Havering Community Strategy* published in 2003 also stated in its vision statement that the HSP will:

Engage local communities and reflect local needs and aspirations in policies and plans.

These statements (particularly the vision statement above) suggest that the HSP will engage in consultation workshops (focus group workshops) with the stakeholders to develop the *Haverling Community Strategy*. This was seen as a way of engaging the wider Haverling community to participate in decision making. This was also emphasised at the HCSSG meeting of 17th May 2000 when it was stated in the minutes of the meeting that:

Roger stated the importance of community participation in the development of Haverling Community Plan. It was agreed that community events on each of the six themes would be arranged.

The statement above by Roger who is the Head of Regeneration Strategic Planning emphasised the recognition by the HSP of the importance of stakeholder participation in decision making in Haverling. Towards this end, the HSP held a number of community events in the focus group workshops as part of the development and consultation on the *HCS*, in which a wide range of public, private, voluntary and community group organisations were present airing their views. Furthermore, the minutes of the HCSSG held on the 17th of July 2000 acknowledged that:

The summary/residents version of the Community Strategy has been sent to approximately 90,000 residents in Haverling seeking their views and comments. Approximately 200 responses have already been received and analysis is currently taking place.

The detailed A4 Community Strategy will be sent (Now sent 9th August 2001) to a range of public, private and community/voluntary sectors towards the end of July/early August. It is estimated that approximately 500 strategies will be sent out seeking views and opinions.

Based on the chosen preference, the CAF and the Chamber of Commerce would be consulted. Fatima explained that the consultation exercise would need to be very comprehensive to involve everyone, including users.

This is clear evidence that the HSP is delivering on its promise of inclusion, participation and involvement of all stakeholders. In acknowledging this, the report of the focus group workshop of November 2000, summarised the comments of the participants at the event, when it stated that:

Everyone at the consultation workshop thinks that community participation is important – that's the reason why they came!

Most people think that Havering's Community Area Forums (CAFs) are a useful opportunity for participation, but the way they operate needs to be reviewed.

The Council is seen as getting better at partnership working and involving people, but there is still plenty of room for improvement. It needs to show that it is really interested in people's views, listens to them, and then acts accordingly.

Involving young people more in projects would give them a greater feeling of being part of the community.

Those providing the services need to listen to people more and get a better understanding of their needs, through user groups and community involvement. Forward planning to meet changing needs is important.

The statements above clearly provide further support for the HSP, particularly the Council efforts at including and involving all stakeholders in decision making, through the Community Area Forums. The Council had set up these forums in each ward in the borough, so that every stakeholder in the wards could have a say in decision making in Havering. Although, participants at the focus group workshop acknowledged the HSP's efforts at including stakeholders in decision making, they nonetheless suggested a range of ideas and how the HSP could achieve this better. For example, at the focus group workshop of November 2000, participants suggested that the Council should:

encourage a culture of participation from an early age – getting young people involved.

develop programmes to raise community awareness, encourage participation, and demonstrate how people can help increase community safety.

more should be done to increase participation and to help people who lose out at present – such as children with special needs, ethnic minorities, disabled people, offenders, boys under-performing compared to girls. Education should be made more accessible with less reliance on normal institutional premises.

These statements clearly emphasise the need for the HSP to do more to encourage participation from all sections of the community. Although the HSP and the Council are seen to be involving people in Havering in decision making, there is, however, apathy on the part of stakeholders. The analyses reveal that efforts by the HSP at reaching and involving all sections of the community in its policy development are failing. For example, in my observational journal of November 2000 focus group workshop, I commented that:

A wide range of different organisations were present, but it appeared that the age range of participants were middle-aged, middle class, white male and female. There was no visible presence of any ethnic minorities, except myself. Issues for discussions on the day were predetermined by the *Havering Community Strategy Steering Group*.

These points were equally acknowledged by some of the participants at the focus group workshop when they commented that:

Big meetings can get taken over by a few individuals, so that others don't have time to air their views

There is evidence to suggest that only a certain group of people attend these consultation events in Havering, as revealed in my observation journal of the focus group workshop of November 2000. My observation at the event read that:

A wide range of different organisations were present, but it appeared that the age range of participants were middle-aged, middle class, white male and female. There was no visible presence of any ethnic minorities, except myself.

A similar observation was made at my first attendance at the HCPF held in May 2000, in which I commented in my observation journal that:

On first impression, only half of those invited attended the meeting. Of the nine participants present, 4 represent the Council. The racial make up of the group is balanced in terms of gender, but not in terms of race – I was the only ethnic minority in the steering group.

My first involvement in the development of the *Havering Community Strategy (HCS)*, and my first attendance at the steering group meeting developing the *HCS*. Attendance at the meeting was very low. The meeting was not representative of the Borough of Havering, as many stakeholders, such as the private sector, the police and other public sector bodies were not present. There are not many ethnic minorities in senior positions in the council. It would appear that this is also the case in other sectors. Also, Havering population is made up of only 4% ethnic minorities.

The low turn out at these community consultation events, as well as in HCSSG meetings was acknowledged at the meeting of the latter held on the 17th of May 2000, the minutes read that:

The group expressed concern at the low turn out at the meetings, and as a result, it was agreed to revise and update the list of participating partners, so as to exclude as well as find replacements for those members who have left.

These statements raised an important question of why there is apathy on the part of the stakeholders. Could it be that the stakeholders lack the capacity to participate? Could it be that the HSP and the Council are seen as conducting token, instead of genuine consultations? The latter issue was expressed by some of the participants at the November 2000 focus group workshop as reported in the report of the event written by the HSP board, which I co-authored; the report read that participants commented that:

Participation means more than just consultation: it means letting the community decide, or at least influence decisions.

The above statement indicates a perception on the part of stakeholders that the HSP holds these consultation events for the sake of it. In other words, they are not held to genuinely involve the stakeholders. It is therefore possible that this perception of not being genuinely involved or consulted is contributing to the apathy on the part of the stakeholders. Participants at the focus group workshop, therefore, recommended that the HSP demonstrates it is interested in people's views, listens to them, and then acts accordingly. They called for regular feedback to the community on what is happening as a result of their involvement, and encourage genuine consultation which takes on board every stakeholders' view before major decisions are taken by the Council and the HSP. What the latter emphasise is the need to allow stakeholders to decide and also influence decisions, through showing that they make a visible difference to what is being done. The means and ways of ensuring the latter, are wide ranging, and overlap with the other emerged themes in this study. This could mean, for example, that it should be clear who is responsible for different issues and problems, and who the public should contact with telephone numbers. It could also mean that local people need regular information about progress, or lack of it, on issues they have raised, along with reasons. It could mean that up to date information should be communicated regularly and clearly to the community, through an effective communication strategy, which should be monitored regularly to ensure that the strategy is working. Overall, it could mean the recognition of the need to use clear language for easy comprehension by doing away with technical terms. It could equally mean that publicity should be imaginative and stimulating, for example, using brightly coloured posters, rather than agendas. It could also be interpreted that the

expertise of local communities should be used to help deliver services, particularly volunteering, which should be positively encouraged and co-ordinated.

The comments about under representation of the ethnic minorities and youths in decision making process in Havering further indicate that there is apathy on the part of the underrepresented groups due to various reasons. One of the reasons why there were not many ethnic minority groups at the events may have been due to the low representation of the group in the population of Havering. Havering has only four percent (4%) ethnic minority groups in the borough. In addition there was the problem of attracting young people to these events which may lie more with the timing and format of the event. One of the ways of addressing these problems, may lie in taking the consultation to the youths, through visiting them at schools, during school hours and visiting youth clubs. For example Ethnic minority groups could perhaps be reached through churches, mosques and community centres where they may frequent.

Overall, these concerns of apathy and issues with the under representation of all stakeholders in decision making in Havering could be addressed through capacity building. The issue of capacity building came up in the analysis of the focus group workshop on November 2000. The report of the event read that the participants called for:

Financial support for voluntary organisations to encourage more people to join in.

Practical help to make it easier for people to participate (with transport, parking, expenses).

We need to provide young people with better role models than they have in the media or football, for example. Most people think that the biggest problem is the lack of suitable facilities for young people, for meeting places and other activities, and that more should be spent on them.

Childcare, nursery schools, after school clubs are important to enable parents to work. More attention should be paid to helping those on really low incomes, including better benefits take-up, targeted training programmes, and supported employment.

Social well-being and sustainability encompass other areas of life which were highlighted by participants at the focus group events. These were the issues of safety, education, health and welfare of Havering residents. The issue of safety (where residents and visitors to Havering feel safe) was very strong in the response and comments of participants at the focus group workshops. Of particular concern to the participating members of the focus group was the intimidating behaviour and offending among young people. What this concern suggests is the need to look at the causes of crimes, and then do something about them. Particularly, the role of parents on how their children are brought up is crucial to addressing the problem. The issue also speaks to the need to provide young people with better role models than they have in the media or football, for example. It also exposes the need to secure funding needed to provide suitable community facilities for young people for meeting places and other activities; and also to provide more in projects that would give them a greater feeling of being part of the community.

Apart from the concerns about crime, a number of participants were also very keen to improve the health and welfare of people in Havering. This includes providing recreational opportunities, good quality housing, reducing poverty and inequality, lessening pollution, and educating people on how to stay healthy.

There are real concerns about accessing health and care services in Havering. Some participants expressed concerns at the waiting times for doctors' and hospital appointments, and delays in assessments and allocating resources before other services

can be provided. These are often far too long in their experience. They also believed that physical access to some facilities causes problems because of their design or location. These problems highlight a number of issues which may be contributing factors to the problems identified by some participants at the workshop events. Some of these relate to the high staff turn-over and the frequency at which staff changes occur, and the shortages of trained staff. These mean that services lack continuity and stability for patients and those with care needs. It also raises the question of under funding of Havering's health and social services; which also need to be better co-ordinated by the different agencies.

The issue of education was also of interest to the participants who think that lifelong learning will be crucial to Havering's future. This is crucial if Havering is to gain a competitive advantage in a globalised economy. The borough would need to have a ready skilled and trained workforce to take advantage of businesses relocating to the borough through globalisation and inward investment. A larger number of participants at these workshops want to see high quality education provided, but they were also concerned about education in the broadest sense - the whole process by which people gain the knowledge and skills that enable them to participate in a civilised, democratic society as responsible citizens. As the first analysis report of the HSP of the comments made by participants at the workshop read:

Lifelong learning needs to be better co-ordinated by the agencies coming together – schools, colleges, youth service, and so on – perhaps into a single learning partnership. Full use should be made of the skills within the community, involving businesses, voluntary and community groups, parents and families. More should be done to increase participation and to help people who lose out at present – such as children with special needs, ethnic minorities, disabled people, offenders, boys under-performing compared to girls. Education should be made more accessible with less reliance on normal institutional premises.

The statement above emphasises the need to improve opportunities in schools for all pupils irrespective of their background, race or creed. It also recognises the importance of skills in taking advantage of job opportunities that may become available in Havering as a result of global business relocation. This speaks to the recruitment and retention and training of teachers, so that they are better equipped to deal with the needs of all students (including those with special needs). The statement also emphasises the need to maintain closer links between education, the business community and all other agencies that may play a part in developing education in the borough. The need to organise training and education in informal settings, particularly for those who have missed out from formal education for various reason is recognised. Such arrangements will address the problem of self-confidence that some may experience in a formal education setting. This is particularly relevant to adults and those disadvantaged from formal education who want to go into the labour market. This will be very relevant in Havering, where although there is low skilled employment base there are skill shortages, for example in the trades and the service industries. This raises the issue of funding, which needs to be sourced from regional and national funding bodies to address the issues raised above. A strong, partnership led community strategy should make it easier to attract funding.

The important question in all these themes is on how the HSP is taking onboard all the issues and concerns expressed above. In recognition of the issues raised by participants at these workshops, the HSP, in developing the *HCS* took account of comments made. This is reflected in the two published strategy documents which pledge commitment to achieve the following: community participation, health and welfare, and lifelong learning. As well as the social well-being, there is also the economic well-being which emerged as a theme in the analysis. This is the subject of the next section, discussed below.

5.3 Economic Wellbeing

Economic well-being is fundamental to community and social change and improvement. For example, the human-made environment, such as urban infrastructure requires massive capital investment financed by either domestic or foreign sources, and makes up an important aspect of a sustainable economy. It is through economic well-being that a society can prosper. This point was highlighted by participants at the focus group events, when the majority of them contend that prosperity can be seen in several ways. For instance, they cited jobs and incomes as very important aspects of economy, and so are the education and training needed to open up employment and other opportunities, the quality of the environment and community provision, and the extent to which the whole community can share in this prosperity. This latter point overlaps with the previous theme on social well-being, however, it is important enough to form part of the issues on economic well-being. These points emerged in the first phase of the analysis of the focus group workshop carried out by the HSP of which I was involved. The final report to the HSP board and the full Council on the analysis read:

Making Havering a better place to live and work will ensure its future prosperity. This includes better education; parks and green spaces; community centres; youth clubs; libraries; theatres and cultural life; a range of housing from executive to affordable social housing; health and leisure facilities; a good transport system catering for different journey types.

Town centres need to be made more attractive to shoppers, with more resources going into urban design, street furniture, CCTV, public toilets, lighting, trees, landscaping, and other amenities. They should have a range of attractions to cater for all age groups.

These comments raise an important factor, which is that of the relationship between social, economic and environmental well-being. These three important elements of

sustainable development feed on each other. For example, whilst participants were seeking for better education and employment opportunities, they were also emphasizing the need to develop the environmental and other physical infrastructure to achieve these. All the issues under the social, economic and environmental well being are interlinked.

One important issue raised by the HSP members when interviewed on achieving the economic aspiration of stakeholders in Havering was the question of resources. The Head of Regeneration and Strategic Partnership commented that:

Funding for most of these initiatives and policy commitments in the *Havering Community Strategy* are centrally and regionally procured. These funding streams are subject to the priorities of the regional and national funders. It was likely that priorities and objectives set in Havering were not within the strategic objectives or priorities of the funders, hence the reluctance to grant funding to Havering. Equally, the funding available is subject to stiff competition from other local authorities in similar setting.

The comments by the Head of Regeneration above opens up a number of issues, namely, the need to work closely with the regional and national agencies to secure funding. The input of the political leaders in Havering at influencing politics at the national and regional level is crucial to achieving this. There are two Members of Parliament representing Havering at the national level, whilst there is a member also representing Havering at the regional level - Greater London Authority assembly. Secondly, the overarching partnership in Havering which is the HSP needs to be made more effective, so that all partners contribute equally to the cause. The issue of prioritising resources at the disposal of the HSP is also vital. The Head of Regeneration and Strategic Planning commented further that the Council and the partnership are committed to achieving their economic goals, even with the limited resources at their disposal, and he cites the partnership's commitment to this through the key actions developed in the community

strategy targeting economic prosperity. These are listed in the two strategy documents as follow:

A more Prosperous Community. We will:

- Support enterprise and businesses
- Maximise the benefits for the borough through opportunities in Thames Gateway including London Riverside
- Support people to develop the right skills to access jobs
- Create the right conditions to encourage inward investment
- Encourage improvements and new investment to strengthen town centres
- Increase the availability and quality of housing.

These policy commitments reflect the comments and aspirations of the stakeholders consulted at the focus group workshops, as analysed overleaf. It also opens up a challenge to the HSP board to find ways of delivering on these commitments. In sum, whilst the economy is crucial to ensuring that society prospers, it is an important foundation for achieving environmental sustainability, which is another important theme that emerged from the analysis and is discussed below.

5.4 Environmental Wellbeing

Whilst social and economic well-being have numerous advantages, they can also be associated with environmental damage and degradation. This is premised on the assumption that models of strategies of development tend to ignore the effect of economic activity on the environment. For example, the following development activities have negative impact on the environment, tourism, congestion, overdevelopment, pollution, heritage degradation, litter, erosion, damage to landscape and biodiversity and crime. They can also create conflict with residents, global warming and greenhouse effect, acid rain and ozone layer depletion. The effects of these environmental disasters when they

occur are not confined to a particular locality or community; they transgress national borders, that is, they are global in nature. For example, an ocean or air pollution in Havering or the UK will have consequences in other parts of the world. This therefore makes environmental protection one of the foremost concerns to be addressed, in order to achieve sustainability. Environmental protection therefore is designed to protect the earth's finite and fragile resources. Doing this involves monitoring and controlling environmental pollution, conservation and efforts at recovering natural resources, and ecological thinking. Ecological thinking is an understanding of human interdependence with each other and of all life forms.

These issues emerged during the focus group workshops and in the documents analyzed for the study. In the report produced by the HSP for its stakeholders after the completion of the focus group workshops, in which I co-authored read that:

Havering is a safe, clean, tidy, well maintained, attractive, enjoyable and accessible environment, with a high quality of design and landscaping - a place that people can be proud of.

The report summarised participants comments at the focus group workshops as follow:

A high priority should be given to maintaining clean streets, parks, and public places, dealing quickly and effectively with problems of litter, dog fouling, fly-tipping, pavement repairs and tree maintenance. More litter bins, more patrols and inspections, using postal delivery staff as 'eyes and ears', better enforcement could all help. More resources need to go into maintaining existing assets rather than new environmental projects. Devolving environmental management to the Community Areas should be considered. Parks and open spaces are very important to the community and should be looked after much better. Facilities and programmes for young people should be improved.

The comments above recognize and acknowledge the decent environment in Havering. In recognition of this, participants want these to be maintained, and protected through a wide range of means. The comments also recognize the importance of securing adequate resources to achieve environmental sustainability.

Transport was another main concern that emerged as an issue to some of the participants. They want an integrated transport system that links pedestrian, bus, car, and train journeys. Their comments on this as reported in the report of the first analysis of the focus group workshops done by the HSP read that:

Bus services need to be improved and routes extended. Many roads are too narrow for the traffic using them, and car use causes congestion and pollution. Use of alternative fuels should be encouraged. There may be opportunities for Park & Ride from the M25.

The report emphasized a strong support for improved and an integrated transport system. There is a particular emphasis on the development of public transport systems to reduce the need to use private cars. The latter are seen as contributing heavily to congestion and pollution in the borough.

Other issues that emerged from the analysis of policy documents, such as the Havering *Agenda 21* and the focus group workshops, related to the encouragement of local residents in recycling so as to reduce the amount of waste disposal. One approach advised by some of the participants was home composting. This was considered by a large number of participants as the best way to recycle green waste. The Council's efforts at separated waste collection service were particularly praised. Although the issue of community involvement emerged as an issue under the theme social well-being, it was,

however, an enough concern to a large number of the participants that it also came up as an issue under environmental well-being theme. The first analysis of the focus group workshops done by the HSP summarised the participants as saying that:

Community involvement is essential to achieve a quality environment. Education and information about environmental issues should be provided, and the Council, other agencies, businesses and the community should work in partnership to address them. Being 'good neighbours' can be promoted, and involvement encouraged in other ways such as community tree planting, front garden competitions, looking after local footpaths, street wardens.

The comments above recognise the inter-linkage of all the themes identified in the analysis. Partnership and joined-up working amongst various agencies providing services in Havering were seen by the majority of the participants as conducive to achieving environmental sustainability. Community involvement which appeared as an issue under social well-being was also prominently highlighted by participants under the theme environmental well-being. This was because they felt that it is crucial to achieving environmental sustainability.

Other specific points made by the participants as reported by the HSP in their first analysis of the focus group workshops, which they want the partnership, particularly the Council to implement include:

- Setting specific environmental targets and monitoring progress.
- Protection of Havering the green areas, which they suggest could also be an opportunity to attract more tourism to Havering.
- The potential for increased sponsorship for maintaining roundabouts and green areas.
- The streetcare (a Council led scheme) is seen as a good initiative.
- The reduction and control of noise nuisance, particularly at weekends.
- Dedication of 'safe routes to school' and reduction in car use and 'rat-running.'

- The conservation of Rainham Marshes (a dedicated Site of Scientific Special Interest – SSSI) as a valuable wildlife area.
- Engaging and encouraging businesses to be adopt environmental policies.

In acknowledging that these demands by the participants are important, the Executive Director for Environmental Service of the London Borough of Havering commented that she was keen to promote '*greener Havering*.' Towards this end

I fought very hard to see that the new community strategy includes the relevant commitments and key actions to achieve greener Havering.

The Executive Director's comment represents the view of the participants as well as the HSP on environmental matters. Her comment signifies that the HSP in the development of key actions and commitments underpinning the *HCS*, will improve the local environment providing cleaner, safer streets and well-managed open spaces and ensure the protection of local heritage. The reduction in the volume of waste created in Havering and increasing the proportion of waste that is recycled in the borough are foremost in the mind of the HSP, according to the comment above. The comment also emphasises the need in Havering to work to create more sustainable transport systems focusing on travel choices, road safety, and reducing the environmental impacts of travelling. The comment also acknowledges the necessity of preserving and enhancing biodiversity and the green environment in Havering; and also the need to contribute to tackling climate change and promoting sustainable energy. These were in deed reflected in the published *HCS* document, where the key policy actions on the environment mirror the comments by the Executive Director for Environmental Service of the London Borough of Havering.

In summary, the analysis clearly shows a linkage between the major themes, as there appears to be an overlap in most of the areas. Although these overlaps exist, they are

however, important enough to be classified as major themes. What this shows is the interdependence of the themes and the symbiotic relationship that exists between them. For example, the issues identified as part of the social, economic and environmental well-being themes are interlinked; and they require the application of the other identified major themes (partnership working, joined-up working, communication and community leadership) to implement.

5.5 Partnership Working

Partnerships refer to the formation of an alliance between different parties for a common purpose. The partnership may cross-border or be international, involving governments; or it may be regional, national or local in nature. For example, at the global level, this may involve partnerships between countries under the aegis of the United Nations to achieve a common goal, such as in reaching an agreement on cutting CO₂ emission by a certain date by the participating nations - the Kyoto agreement.

In the United Kingdom (UK), at the regional and local levels, various public sector bodies, private, community and voluntary sector organisations form partnerships to develop initiatives for their common good. These organisations form into a partnership to foster and develop initiatives and services to support one another, in order to work more efficiently. In the UK, partnerships are central to the delivery of various government initiatives such as Community Strategies and regeneration programmes. Community Strategies are seen by the government as a way of local authorities contributing to the sustainability agenda. There is a statutory requirement under the *Local Government Act 2000*, for all local authorities in England and Wales to produce Community Strategies

through partnerships developed with their stakeholders. At the global level, international conferences on sustainability organised through the United Nations agencies and in their guidance to the regional, national and local governments, advocate the formation of partnerships with various stakeholders in order to achieve sustainability. It is therefore a fair comment to say that the requirement for sustainability at the local government through community strategy has a global orientation in the form of the United Nations *Agenda 21* and other international agreements.

There is a clear evidence of partnership in Havering called the Havering Strategic Partnership (HSP). The latter is responsible for developing the *Havering Community Strategy (HCS)* through its sub-group called the *Havering Community Strategy Steering Group (HCSSG)* or simply known as the Community Strategy Steering Group (CSSG). The Head of Regeneration and Strategic Planning of the London Borough of Havering, when interviewed explained that:

Although Community Strategies became a statutory requirement in the UK in April 2000, Havering had already recognized the importance of forming partnerships to deliver programmes, because of the advantages of cost saving and skills sharing. The process of partnership formation to steer the development of the *Havering Community Strategy* was therefore a straight forward affair from the outset, as there already existed an established local strategic partnership in the Community Planning Forum and the Community Management Team.

Out of these partnerships emerged the Havering Strategic Partnership, which was formed by a joint decision of the Community Planning Forum. According to the minutes of the CSSG held on Tuesday, 17th July 2001, it was noted that:

The current Community Planning Forum would be renamed Havering Strategic Partnership to be the high level focus for political, community, voluntary, business and public sector involvement. Strategic decisions in relation to, for example, the

Havering Community Strategy and Public Service Agreements (PSA)⁸ would be taken by the Havering Strategic Partnership.

It appears from the comments above that the London Borough of Havering is pro-active in its approach to service delivery. This is because, its formation of strategic partnerships prior to the government making it a requirement in the UK is a clear indication of its recognition of the importance of partnership in working with other sectors in the borough for a common purpose and to achieve cost efficiency and to share skills. Partnerships are seen as a way of unifying diverse communities to fight a common cause, such as global warming. The *Local Agenda 21*⁹ is a prominent example, where most local authorities in the UK, including the London Borough of Havering have signed up to the 1992 Rio Agreement on sustainable development. The Rio agreement made partnerships a requirement for local authorities in their quest to achieve sustainability. It requires that all interests are catered for to have a voice on policy development and implementation of programmes on environmental protection, economic development and social progress through partnerships.

The requirements of Community Strategies are similar to that of the LA 21, which is already in place in the London Borough of Havering. The comment by the Head of Regeneration seems therefore to indicate that the development of the *Havering Community Strategy* was a straightforward and a successful experience in that the relevant prerequisite in making it work had been present in its already formed

⁸ Public Service Agreements (PSAs) are voluntary agreements between upper-tier local authorities and government, which were piloted in late 2000, with 20 authorities participating. By the end of 2007, however, about 144 upper-tier local authorities had signed up to the scheme. The overall aim of PSAs was to improve the delivery of local public services by focusing on targeted outcomes with support from Government.

⁹ Local plans of action for sustainable development for the 21st century as part of the Agenda 21 Treaty, signed at the Rio Earth Summit - tackling global problems at a local level (Stafford Borough Council, 2003).

partnerships. Further confirmation of this was in the first focus group analysis, in which a large number of participants at the focus group event commented that:

The Council is seen as getting better at partnership working and involving people.

The question however, is who is involved in the partnerships? Are these partnerships fully representative of the diverse population of the borough of Havering?

The Community Planning Forum and the Community Management Team are a sub group of the Havering Strategic Partnership (the former had been subsumed into the HSP), which is the overarching partnership in Havering. The function of the Community Planning Forum and the Community Management Team are described in a briefing note dated 28th December 2000, prepared by the Regeneration and Strategic Planning department to the Leader of the Council. The briefing note read:

The Community Planning Forum is the Council's highest level mechanism for community leadership and inter-agency working aiming to encourage 'joined-up' or seamless services across traditionally held boundaries.

At the political and community level, the Leader of the Council chairs the Community Planning Forum, the membership of which includes the three local MPs, Chairs of the Health Authority and Trusts, the local Police Commander, the Chair of Magistrates, Havering Chamber of Commerce, Havering Trades Council, London Fire and Civil Defence Authority, three representatives from community groups and a representative of one of our major private sector employers. The evolving nature of this Forum allows further representatives, as appropriate. The Council, through the Chief Executive acting as Secretary, co-ordinates the arrangements for the Community Planning Forum which meets quarterly.

The Community Management Team is the management level equivalent of the Community Planning Forum. The heads of the key organisations progress all strategic issues in the Borough and meet monthly with a combined rolling agenda.

The main purpose of working in this way is to maximise synergy, as nearly all major policy objectives require the active input of many agencies working together. Havering Council's Chief Executive chairs the Community Management

Team which is also serviced by the Council. The membership includes the Council's Executive Directors, the local Police Commander, the Chief Executives of the Health Authority and two Trusts, the Head of the Benefits Agency locally, the Crown Prosecution Service, Probation Service, Employment Service, London East Training and Enterprise Council and the London Fire and Emergency Planning Authority. In common with the Community Planning Forum, membership of this Team is constantly evolving.

The briefing note above indicates that the two major partnerships in Havering are dominated by the public sector bodies, of which the Council have more presence. It is not clear whether these public sector bodies represent grass root interests as there is no indication of how they are made up. It is perhaps possible that public sector bodies and other larger organisations dominate these partnerships because they have influence at the national and at regional levels of government where most local government funding for programmes originate. In recognition of this, for example, it was agreed at the meeting of the 14th November 2001 meeting of the Community Strategy Steering Group the need to expand the HSP partnership to include regional agencies and larger business organisations that have dealings with the borough of Havering. The organisations suggested at the meeting were the Government Office for London (GoL), London Development Agency (LDA), Greater London Authority (GLA), AON and Ford Motor company. The three former organisations are regional funding bodies on regeneration programmes.

The inclusion of the voluntary and community groups is minimal; and there is no evidence of the private sector involvement other than the Havering Chamber of Commerce, prior to the meeting of the 14th November 2001 meeting of the Community Strategy Steering Group. A case, however, can be made that because the Chamber of Commerce represents the wider businesses in the borough of Havering, its inclusion in the partnerships is therefore sufficient to serve the interest of the private sector. The low

representation of the different stakeholders in Havering in the two partnerships is acknowledged in the briefing note dated 28th December 2000 above, when it states that:

the evolving nature of this Forum allows further representatives as appropriate.

In recognition of the need to broaden the partnership, some of the participants at the focus group consultation events commented that there were no members of any of the ethnic minorities represented at the focus group events. This sentiment also formed part of my observation at these events and at partnership meetings held in Havering in which I attended in the course of my work as the Principal Regeneration Officer, with responsibility for the co-ordination and development of the *HCS*. For example, in November 2000, February 2002 and in December 2007, at the launch of the new strategy document in which various public sectors, private, community and voluntary sector organisation were invited; I made the following comments in my journal entry:

The consultation workshop started around 6pm. The location of the event was Duke's Hall, Hornchurch, Essex. The venue was accessible by both public and private transport and had adequate parking facilities, with disabled access.

A wide range of different organisations were present, but it appeared that the age range of participants were middle-aged, middle class, white male and female. There was no visible presence of any ethnic minorities, except myself.

Issues for discussions on the day were predetermined by the *Havering Community Strategy* Steering Group.

The latter observation indicates that although partnerships as a way of delivering services and involving others in decision making is present in Havering, however, decisions on issues are determined at the top and not from the grass root level (that is, from 'bottom-up'). Could this mean that these consultation events were being held for the sake of it and not to genuinely involve and engage the community in decision making? Sustainable

development principles advocate genuine involvement of all stakeholders in policy development and formation. However, during an interview with the Policy Co-ordinator for the HSP, she claimed that:

In 1998, the partnership held a consultation event in which all partners and residents were invited to decide on and prioritise the six key themes of the community strategy.

The comment by the Policy Co-ordinator above obviously contradicts my observation as previously reported. The question, therefore, is why there is such a stark contradiction in the comments of two key officers involved in developing the *Havering Community Strategy*? Could it be lack of communication on the part of the officers? Are the key officers talking to each other and are adequate records of events as they relate to partnership work in Havering kept? I had involvement in the development of the first *HCS*, as the Council's Regeneration Officer (Strategy), from 2000 to 2003. During this period, there was no consultation held with the stakeholders to decide the key themes of the *HCS*. However, there were a number of consultation events held to decide the key issues of the *HCS* themes. It was, however, likely that a consultation with stakeholders was held before my tenure to decide the key themes of the *HCS* in 1998, as indicated by the Policy Co-ordinator. Records of past partnership meetings before 2000 which the present Policy Coordinator had access to were not available to me.

In sum, there was consensus among officers interviewed and the various documents analysed about the importance of partnership and its strong presence in Havering, particularly in the delivery of various services. There were also concerns on what the current Council's Policy Co-ordinator termed '*partnership fatigue*' in Havering. This was also echoed by some participants at the consultation events described above, in which

they called for the rationalisation of the partnerships to avoid duplication and fatigue. The issue of resources was, however, a major concern to the partnership (the CSSG) at the beginning of its formation. Between 2000 and 2003 there were no specific budgets allocated for the operation of the partnership. Funding for the works of the partnership was through the Regeneration and Strategic Planning Unit (both financially and in human terms). Although the Policy Co-ordinator claimed during an interview that:

Each partner has access to budgets to make things happen

However, the Head of Regeneration comments differ when he said during the interview that:

The partnership had no dedicated budget for the project but has managed so far to pay for all the expenses through budgets from the department

My observation journal of 24th of May 2000 was similar to the comment made above by the Head of Regeneration and Strategic Planning in which I noted that:

The issue of funding was discussed. There was no specific budget allocated to the task of developing the strategy. The partnership has not contributed equally to the process financially. Although, other partners are not making any form of contribution other than attending the meetings, perhaps we should suggest that they contribute in-kind, through for example, hosting meetings, helping with the administration of events from time to time, etc.

It is clear that the present HSP Policy Co-ordinator is referring to the present state of affairs in which the partnership has now recognised the importance of resourcing the HSP in order to achieve sustainability through the *Havering Community Strategy*. The present HSP Co-ordinator was not involved in the development of the *Havering Community Strategy (HCS)* from the outset, when the first *HCS* was developed and published. Her

comment above therefore reflects her work on the revised strategy document, in which all partners, from her statement, made a contribution financially.

From the comments above, partnerships in Havering can be made to work more effectively if they are adequately resourced. Failure of members not contributing equally may render the partnerships 'talking shops' where no action can be taken to implement the policies decided upon, due to lack of funding. In order for these partnerships to be successful would require that all partners contribute. As indicated in my observation journal above, contributions may come in various forms - from money contribution to in-kind contribution. This would depend on the requirements of the partnerships and the strengths and weaknesses of members of the partnership. The next section discusses joined-up working as an important theme coming out of the analysis.

5.6 Joined-up Working

Joined-up working refers to the ability of various organisations or departments that provide similar services either globally, nationally, regionally or locally to work together to achieve common goals. At the global and at the regional levels of government, that is the United Nations and the EU, it is seen as a way of achieving policy objectives amongst member countries. How this works is similar in Havering, the local level of government, where it is viewed as a way of achieving some of the policy objectives of the *Havering Community Strategy*. According to the Regeneration Manager, Resources and Strategy in an interview, he noted that:

As services cut across various departments, it makes sense both in human resources and in financial terms to engage in joined-up working.

The importance of joint working according to the statement above is that it will facilitate successful sustainable development implementation. When departments and organisations whose roles cut across a wide range of service areas (where there is potential for duplication and overlap of responsibilities), engage in joined-up working, there is less room for wastage. There is also room for skills and idea sharing, which in the long run is conducive to sustainability and efficiency. The latter point was demonstrated by the HSP Policy Co-ordinator when she suggested that the *Havering Community Strategy* links other plans and strategies in the borough to ensure that services compliment each other and that duplications are avoided. She commented in interview that:

In Havering, the Community Strategy is seen as the overarching document in which other strategies and plans nest. Confirmation of this is in the Council's corporate plan and other departmental plans and policies which list the *Havering Community Strategy* as the overarching plan that informs their preparation. Also, in the Council's intranet website, the *Havering Community Strategy* tops the list of other plans and strategies in the borough.

The latter assertion by the HSP Policy Co-ordinator was echoed by the Regeneration Manager, Resources and Strategy, when he stated that:

The Community Strategy is the guiding strategic plan which informs other plans in the Council. Other plans and strategies in the borough were linked from the outset to inform the preparation of the *Havering Community Strategy*. These strategies and plans are listed on page 68 of the *Havering Community Strategy 2002>2007*.

The statements above suggest that the *Havering Community Strategy* is a comprehensive document in which other departmental and organisational plans within the borough of Havering nest. The HSP set the policies, which guide other departments and organisations. This is made possible through partnership and joined-up working.

The comments reported above were made by two senior Council officers who are also members of the HSP board. Were their views shared by other members of the HSP board who are not Council employees? How do the other partners perceive joined-up working? The Community Strategy was perceived differently by partners from other public and voluntary sector bodies. For example, the Director of Age Concern, when interviewed as part of this study opined that the *Havering Community Strategy* does not guide the function and working of Age Concern in Havering, although she was involved in the preparation of the strategy document. The same sentiment was expressed by the Director of Nursing, Barking, Havering and Redbridge Hospital, NHS Trust when interviewed. When asked why this was the case, she commented that the National Health Service (NHS) find it impractical to achieve, due to the constant and changing demand imposed by the central government and due to funding restrictions. These responses render redundant the whole effort and notion of joined-up working in Havering. It appears from the latter statements that the *Havering Community Strategy* document for 2002-2007 which listed other plans and strategies in the borough and how they are integrated to achieve common objectives set by the partnership, is merely an aspiration. There is no indication of how commitments and policy objectives are being jointly delivered.

Despite the impracticality of achieving joined-up working as a result of the comments by the Director of Age Concern and other public sector bodies in Havering, all the key officers interviewed still see joined-up working as pivotal to delivering the key objectives of the *Havering Community Strategy*. Evidence of this was in the survey of the key officers carried out in which, through joined-up working:

93 percent of the officers were involved in one shape or form in the preparation of the LA 21 document for Havering. The survey on the officers' knowledge of the

existence of the *Havering Community Strategy* also revealed that all of them are aware of its existence, and all those surveyed had involvement in its preparation, except for one officer, who responded no. However, the level of each officer's involvement in the preparation of the *HCS* varies, with the majority claiming very strong involvement, except three officers who were never involved.

The result of the above survey clearly indicates that joined-up working is perceived strongly as a means to achieving the aims and objectives of the *Havering Community Strategy*, despite the difficulties and practicalities of making it work as expressed by the Director of the Age Concern and the Director of Nursing of the Barking, Havering and Redbridge NHS Trust. It is also the case that the majority of the officers who favours joined-working in the survey are senior Council officers.

However, Communication which is one of the ways in which joined-up working can be made to work successfully across the partnership in Havering emerged as a major theme from all the raw data collected; and this is the subject of the next section.

5.7 Communication

Communication refers to a process in which meaning is conveyed in an attempt to create shared understanding. It is thus, an ability to effectively put across as well as receive information either through verbal or non-verbal means. This requires a two way process in which both the recipients and the person providing the information have a mutual respect and clear understanding of each others needs. Communication was raised as one of the key concerns by a large proportion of the stakeholders consulted during the focus group workshops. The perception of the participants at these events was that communication was lacking in the preparation of the *Havering Community Strategy*. As one of the participants put it :

I have a problem understanding these big words that don't mean much to me. For example, what's sustainability, and what is cross-cutting theme?

The comment above was based on a number of factors, namely, that the use of plain language is called for by the HSP in order to communicate more effectively with Havering residents. The comment by one of the participants at the focus group workshops suggested that the HSP assumed that every participant at the workshop was familiar with technical words as they relate to community strategy. This suggested that the communication between the HSP and stakeholders was very poor.

The issue of communication between departments within the Council on the other hand seemed to good based on the result of the survey carried out and analyses. For instance, out of the 14 officers who returned the survey questionnaire, 13 claimed that their department had received information from the *Local Agenda 21* Officer of what sustainable development is. And all respondents are also aware that the London Borough of Havering has produced a *Local Agenda 21* document. From the survey reported above, it therefore appears that communication only becomes an issue when management in Havering have to deal and pass on knowledge to the rest of the community, such as the voluntary groups and community organisations.

One of the major impediments to getting across information to the participants at focus group events and the communities in Havering in general relates to the language of communication which was too technical as highlighted above. In recognition of these difficulties and issues with communication, a report to the HSP board and the full Havering Council Cabinet, dated November 2001, made a number of recommendations on improving communication. The report read:

An overwhelming number of the participants considered useful the adoption of a more user-friendly language in the drafting of the document to make it more accessible to all. For instance, the definitions in the cross-cutting themes are considered too 'jargony,' especially on sustainability which may benefit from a clearer definition, but without losing the term sustainability itself. The word perspective also suffers from the same fate. Whilst the definition is 'sufficiently user friendly' the term perspective itself needs re-wording. The key action areas would need to be made into statements, to convey their meaning and intent. This replaces the present format of 'one line statements.'

The employment of such technical terms as *sustainability* or *cross-cutting theme* in the consultation documents used at the focus group events and in the published *HCS* by the HSP was based on the assumption that every member of the focus groups is able to easily understand these terms. The HSP partnership also took for granted the diverse nature of the population in Havering. What this highlights is the need to have trained personnel in Havering working for the HSP in effective communication skills to be able to reach the target audience. It is very difficult to convey the messages of sustainability to people when they are not been properly informed as to what these terms mean, or what action is being taken to address the issues involved and what is expected of the stakeholders in contributing to the efforts at achieving sustainability in Havering. Although the issue of sustainability is a global phenomenon, in which for instance, the effect of global warming is not confined to one locality; it is also true that it is at the local level of activity that minds and attitude towards living in sustainable ways should be changed to achieve global sustainability. This is the rationale behind the *Local Agenda 21*, where efforts at the local level are encouraged, through local authorities working in partnership with all stakeholders.

The issue of lack of communication was highlighted to the HSP, by the University of East London (UEL) prior to developing the *HCS* and prior to holding the focus group events in Havering. The UEL had been commissioned to develop a 'health check' of the borough of

Haverling to assist on the issues requiring attention and that need to be the focus of the focus group consultation. For example, the UEL researchers found it difficult obtaining information and data from various contacts within the borough. What this showed was that rivalry existed between the departments. It is perhaps possible that the various departments felt threatened by the release of information to rival departments. This issue was reported at the meeting of the HCPSG of 24th May 2000. In acknowledging these issues, the management within Haverling Council and the wider HSP partnership through the published *Haverling Community Strategy* 2002 – 2007 and the revised version in 2005, called for a corporate communication strategy to be developed:

which attempts to highlight the different communication channels that may be useful in reaching a vast number of residents in Haverling. This would also identify the various groups (namely, the various ethnic groups and interest groups) and how best to communicate with them. In these days of information technology, the internet, and other means should be effectively used to reach as many people as possible.

The statement above (as contained in the published 2005 version of the *HCS*) took onboard the concern of focus group consultees and others on the issue of communication. This shows that the HSP board acknowledge the importance of communication in spreading the notion of sustainability to the residents. The HSP board is thus identifying how to improve communication in Haverling. It appears that the HSP board are considering the following, but not necessarily in the same order:

networking and sharing of information between communities; effective consultation that truly seeks and informs stakeholders of what is happening in the borough; focus group that takes on board the need of invited stakeholders, for example, their communication needs, travelling needs for the disabled, etc.; the use of all forms of communication

channels to reach a diverse audience in Havering, such channels of communications could include, but not limited to the following: local newspaper, the internet, surveys, direct mail and publicity.

Whilst acknowledging the impact of these methods of communicating with the wider audience in Havering can play, there is also a need to use plain language in communicating difficult concepts such as 'the concept of sustainability' to residents. Accomplishing these tasks require leadership, which is addressed in the next section as another theme coming out of the analysis.

5.8 Community Leadership

Leadership refers to the ability of the relevant authorities (either at the global, regional, national or at local level of government) to lead and provide focus to others, in terms of funding, guidance or legislation, on areas such as in sustainability, social cohesion, trade, etc.

In 1998, the UK government published a white paper called 'government modernization agenda.' In this document, the government places the responsibility on local authorities to exercise community leadership to ensure social, economic and environmental well-being of their areas. The community strategy was seen as an expression of this leadership. This is because the community strategy provides the mechanism for ensuring that local authorities and other stakeholders adopt a common and co-ordinated approach to meeting local needs. This requirement became law in April 2000 through the *Local Government Act 2000*. At the global level, the United Nations, through its various agencies provide

leadership to the member nations on sustainability through various published reports and conferences on sustainability. The directives from these global agencies are the basis for the guidance from national governments to their various local organisations on ways to address the issues of sustainability.

Apart from the global directive cascading down to the local agencies through the national governments; in order to assist local governments in the UK exercise their leadership role, they are aided by a range of government initiatives such as the Best Value regime¹⁰, and the Local Public Service Agreement. The latter is an agreement between an individual local authority and the Government. It sets out the authority's commitment to deliver specific improvements in performance, and the Government's commitment to reward these improvements. The agreement also records what the Government will do to help the authority achieve the improved performance. The most important aspect of demonstrating this leadership however, is in the preparation of Community Strategies. In order to help local authorities achieve the latter, the government produced a guidance note on preparing community strategies in England and Wales in 1999. And at the 17th May 2001 HCPF meeting, the group was reminded that the:

The government is now looking at using Public Service Agreement (PSA) targets as the basis for assessing delivery of service/targets. So far 22 organisations have signed up as pilots on PSAs. It was agreed that Havering (including all partners) would need to be prepared to develop PSAs with the government between March and October 2002, in preparation for the April 2003 deadline.

¹⁰ The best value regime was designed by central government in the United Kingdom to improve local public services. Under legislation (Local Government Act 1999), best value authorities - which include the Greater London Authority (GLA) and its functional bodies, London boroughs, police authorities, fire authorities, county and district councils - must: 'make arrangements to secure continuous improvement in the way in which they exercise their functions, having regard to a combination of economy, efficiency and effectiveness' (HMSO, 1999: 3).

The group agreed that it is important that Havering's Community Strategy is prepared in line with the government guidance, and that every stage in the development of the document is checked against the guidelines.

The statement above emphasise that community strategies (whose main purpose is to help local authorities plan for sustainability with their stakeholders) need enforcing through central government involvement. It also demonstrates that the national government is exercising leadership in the area of sustainability. This it does by setting targets through the PSA and also through Acts of Parliament (*Local Government Act 2000*) to enforce the development of community strategies by local authorities. The minutes of the 17th May 2001 HCPF meeting above also asks the question; how is the London Borough of Havering through the HSP exercising their leadership role? These leadership roles are being manifested in various ways. For instance, the Council, through the Regeneration and Strategic Planning (from 2000 to 2004) co-ordinated the development of the *Havering Community Strategy*, through the Head of Regeneration and Strategic Planning and his officers (Regeneration Manager, Resources and Strategy and the Regeneration Officer – which was myself). Evidence of this is in the minutes of the HCPF of 24th May 2000, in which the Head of Regeneration and Strategic Planning introduced me to the group. The minute read:

The Head of Regeneration introduced Toni Ola to the meeting as Havering Council's new Regeneration Officer (Strategy). Toni will be responsible for the day-to-day co-ordination of the strategy development and the steering group.

At the 13th September 2000 meeting of the HCPF, the HSP partnership began acknowledging the leadership and co-ordination role of the Council through my role, when it was agreed at the meeting that:

Comments and corrections made by the group on the research being done by the UEL in developing the 'health check' for Havering should be forwarded to Toni Ola for co-ordination. In the meantime, Toni will also check and edit the report for circulation at the next meeting.

The statements in the minutes above demonstrate that the London Borough of Havering takes its leadership role seriously by leading the development of the *HCS* through its officers. The question, however, is on how the Council sustains its leadership role and also implements the key policy objectives jointly developed with its key partners, as the latter are made up of autonomous organisations with their own specific needs, issues and priorities. Will the commitment to implement the key actions that underpin the *HCS* by the HSP Board and their endorsement of the published strategy document demonstrate the leadership role of the management in Havering? This commitment, which includes the commitment to monitor, implement and engages in periodic reviews of the strategy document, is contained in both the old and the new version of the *HCS*, which read as below:

This strategy is a living document which will be continually reviewed and updated. It builds on the strong foundations laid by the first strategy published in 2002 and the six themes which remain relevant.

The statement above suggests that the HSP will ensure that the delivery plans which underpin the *HCS* document translate the vision and priorities of the strategy into actions through regularly monitoring progress and reporting to the community. The major areas in the *HCS* which the HSP hopes will fulfil the criteria of ensuring the well-being of all residents in Havering are in social, economic and environmental sustainability, which are also the three of the major themes that emerged out of the analysis.

Although the three themes above as addressed in the *HCS* are designed to serve the needs of the local population in Havering, they are nonetheless rooted in the global variables of the sustainability agenda. This is in recognition that efforts at the local level of activity invariably contributes to the overall global quest for sustainability. The vision, as contained in the *HCS* and quoted below, encapsulates the latter point. The vision statement in the *HCS* reads that it will:

Create safe, welcoming, healthier and more prosperous place where people choose to live, work and visit. In drawing up the strategy the HSP recognizes, values and embraces the diversity of cultures within Havering, and the communities that make up the borough.

The vision and aspirations above recognise the importance of community strategy in achieving the aims and objectives of the sustainable development principles. The latter advocates that the needs of all sections of society are catered for.

TABLE 6: MAJOR THEME (SOCIAL WELL-BEING)

Major theme	Meaning and perceived importance	Key issues
Social Well-being	<p>Social well-being refers to developing formal and informal processes, systems, structures and relationships to actively support the capacity of current and future generations to create healthy and liveable communities. This will assist in ensuring that communities are equitable, diverse, connected, safe and democratic and that there is provision for a good quality of life for all.</p>	<ul style="list-style-type: none"> ❑ Participation ❑ Democracy ❑ Influence ❑ Community Area Forum (CAF) ❑ Domination ❑ Equity ❑ Capacity building ❑ Safety ❑ Crime ❑ Involvement ❑ Welfare ❑ Consultation ❑ Accessibility ❑ Apathy ❑ Engagement ❑ Inclusion ❑ Education ❑ Training ❑ Lifelong learning ❑ Representation ❑ Health

TABLE 7: MAJOR THEME (ECONOMIC WELL-BEING)

Major theme	Meaning and perceived importance	Key issues
Economic Well-being	Economic well-being is fundamental to community and social change and improvement. For example, the human-made environment, such as urban infrastructure, requires massive capital investment financed by either domestic or foreign sources and makes up an important aspect of a sustainable economy. It is through economic well-being that a society can prosper.	<ul style="list-style-type: none"> □ Employment □ Business support □ Investment □ Economy □ Prosperity □ Jobs □ Income □ Resources □ SME □ Town centres □ Competition

TABLE 8: MAJOR THEME (ENVIRONMENTAL WELL-BEING)

Major theme	Meaning and perceived importance	Key issues
Environmental Well-being	<p>Environmental well-being refers to the protection of the earth's finite and fragile resources. This involves monitoring and controlling environmental pollution, conservation and efforts at recovering natural resources, and ecological thinking. Ecological thinking is an understanding of human interdependence with each other and of all life forms.</p>	<ul style="list-style-type: none"> ❑ Transport ❑ Air pollution ❑ Noise pollution ❑ Congestion ❑ Clean street ❑ Wild-life ❑ Climate change ❑ Ecology ❑ Natural resources ❑ Environmental damage ❑ Degradation ❑ Global warming ❑ Green house ❑ Ozone layer depletion ❑ Acid rain ❑ Parks ❑ Biodiversity ❑ Maintenance ❑ Built environment ❑ Green Belt ❑ Countryside ❑ Conservation ❑ Waste and recycling ❑ Design

TABLE 9: MAJOR THEME (PARTNERSHIP WORKING)

Major theme	Meaning and perceived importance	Key issues
Partnership working	Partnerships refer to the formation of an alliance between different parties for a common purpose. The alliance may be cross-border or be international, involving governments; or it may be regional, national or local in nature. For example, at the global level, this may involve partnerships between countries under the aegis of the United Nations to achieve a common goal, such as in reaching an agreement on cutting CO2 emission by a certain date by the participating nations - the Kyoto agreement.	<ul style="list-style-type: none"> □ Community Management Team □ Partnership □ Havering Strategic Partnership □ Local Strategic Partnership □ Havering Community Strategy Steering Group □ Community Planning Steering Group □ Community Planning Forum □ Stakeholder □ Voluntary sector □ Public sector □ Private sector □ <i>Havering Community Strategy</i> □ Resources

TABLE 10: MAJOR THEME (JOINED-UP WORKING)

Major theme	Meaning and perceived importance	Key issues
Joined-up working	Joined-up working refers to the ability of various organisations or departments that provide similar services either globally, nationally, regionally or locally to work together to achieve common goals.	<ul style="list-style-type: none"> □ Plans □ Link □ Inform □ Strategy □ Integration

TABLE 11: MAJOR THEME (COMMUNICATION)

Major theme	Meaning and perceived importance	Key issues
Communication	Communication refers to a process in which meaning is conveyed in an attempt to create shared understanding. It is thus an ability to effectively put across as well as receive information either through verbal or non-verbal means. This requires a two way process in which both the recipients and the person providing the information have a mutual respect and clear understanding of each others needs.	<ul style="list-style-type: none"> <input type="checkbox"/> Research <input type="checkbox"/> Communication <input type="checkbox"/> Jargon <input type="checkbox"/> Understanding <input type="checkbox"/> Word <input type="checkbox"/> Information <input type="checkbox"/> Dissemination <input type="checkbox"/> Internet <input type="checkbox"/> Focus groups <input type="checkbox"/> Newspaper <input type="checkbox"/> Survey <input type="checkbox"/> Questionnaire <input type="checkbox"/> Sharing <input type="checkbox"/> Accessibility <input type="checkbox"/> Language <input type="checkbox"/> Publicity <input type="checkbox"/> Newsletter

TABLE 12: MAJOR THEME (COMMUNITY LEADERSHIP)

Major theme	Meaning and perceived importance	Key issues
Community Leadership	Community leadership refers to the ability of the relevant authorities (either at the global, regional, national or at local level of government) to lead and provide focus to others, in terms of funding, guidance or legislations, on areas such as in sustainability, social cohesion, etc.	<ul style="list-style-type: none"> □ Co-ordination □ Leadership □ Legislation □ Government guidance □ Management Endorsement □ Monitoring □ Implementation □ Review

5.10 Substantive Theory: Development and Discussion

5.10.1 Introduction

This section of the study constitutes the penultimate phase of my action research phase, as it is the developing state. According to Mertler (2006: 161), “this stage consists primarily of the activities of taking the results of your analysis, your interpretations of those results, as well as the final conclusions drawn from the interpretation, and formulating a plan of action for the future.” As Darkenwald (1980) opined, a substantive theory is close to the real-world situation.

The current study has several stated aims and objectives as indicated in Chapter One. One of the objectives is the development of a substantive theory based on the results of the analysis in Chapter Five. This section of the study fulfils this objective.

There are two prominent parts to this section of the study. The first part develops and provides a discussion about the substantive theory. There is also an idealised model for developing a sustainable development plan being presented to support the substantive theory. The second part attempts to use the results of the analysis to answer the research questions posed in Chapter One. In the process, the relationship between theory and practice as a way of contributing to knowledge will be outlined. This study is geared towards expanding our understanding and knowledge of the contribution of actions at the local level of government at contributing to the global quest for sustainable development.

The results of this study provide a rich picture of how a local government and its stakeholders through partnership work strive to achieve social, economic and environmental wellbeing. Based on the latter, this section of the study explores whether the findings in this study confirm or add to the theories and concepts and issues identified in the literature. Of particular relevance are globalisation theory, sustainability and sustainable development theories as advanced in the *Brundtland Report* of 1987. Also, whether the methodological approach employed provided a new way of researching sustainable development in local government, away from the reductionist approach where the researcher is detached from the subject.

Bearing these in mind, the result of the study clarified several issues surrounding the 'primary research question' explored through the flowing questions:

1. What were the key issues that underpinned the Havering Community Strategy, and how were they developed?
- 2a. Were the sustainable development indicators used in the *Havering Community Strategy* able to contribute to the global sustainable development debate?
- 2b. Were these sustainable development indicators able to achieve sustainable urban regeneration in Havering?
3. Was a framework used for integrating sustainable development principle into the *Havering Community Strategy* development process?

5.10.2 Social Wellbeing

The issues addressed at the grand and meso levels which may be classified as social well being centre on: social inclusion and participation of all citizens in decision making process; education and training for all; intergenerational equity; poverty; health and culture. Are the above variables of sustainability and sustainable development relevant at the local level of government (substantive level), and are they affected by the variables of globalisation? The results of the analysis provide a rich picture on this question. At the substantive level (the London Borough of Havering), there was evidence from the analysis that the issues of concern at the local government level of policy formulation were wide ranging and similar to those addressed at the global and at meso levels.

At the substantive level, these issues were highlighted by the participants at the focus group workshop in November 2000, in interview held with HSP members developing the *HCS*, and in the policy documents analysed for the study. For example, the published *HCS* addressed the issues of participation, inclusion and community involvement of all stakeholders in Havering in decision making. These issues had sections in the *HCS* dedicated to policy ideas on how the Council would address them. Confirmation of how the HSP achieved citizen participation in decision making and community involvement in Havering was in the organisation of focus group workshops in which key stakeholders representing various interests in Havering were invited to engage in discussions on issues they wanted the HSP board to address on their behalf through the *HCS*. Furthermore, all 90,000 residents in Havering were invited to make comments on the proposed issues being addressed in the *HCS*. The result of these exercises was the publication of the *HCS*,

with a dedicated chapter on the issues relating to social well-being of citizens of Havering.

Issues which the participants consulted wanted on top of their priority list were on community safety, education, health and welfare of Havering residents. These issues are similar to those addressed at the grand and meso levels as revealed in the literature. For example, the issue of education of the young adults in Havering was very prominent in the discussion groups at the focus group workshops. This was in recognition of the need to train a workforce in Havering that could take advantage of inward investments coming to the borough of Havering through globalisation. There was also prominence given to the issues of safety and health, particularly by the over 50s who seemed to dominate the focus group workshops organised by the HSP in developing the *HCS*. What these mean in essence is that various organisations in Havering delivering services work together to address safety issues. This requires the sharing of information and jointly tackling the problems of vulnerable groups. Specifically on health and crime, the health authority's role in providing help to residents with drug-related issues; and the role of businesses in reducing crime and anti-social behaviour in town centres and leisure outlets is crucial. These issues opened up a lot of discussion amongst participating members of the focus groups on how to tackle antisocial behaviour in Havering. The approach to some of these issues ranged from developing neighbourhood schemes in residential areas, to the need for greater community support. These points acknowledge and reinforce the importance of good community organisations being brought together to make a contribution. This is only possible through the Council exercising its community leadership by facilitating closer co-operation amongst various community groups in Havering, including the Police authority.

Although evidence from the analysis suggest that issues of concern at the substantive level are very much the same as that addressed at the grand and meso levels. However, there were a number of issues which were not evident in the literature which the analysis of the raw data in this study revealed. One of these relate to the issues of genuine participation. Although there was evidence of stakeholders' participation in decision making in Havering, throughout the development of the *Havering Community Strategy*, however, a number of participants at the consultation events held to develop the strategy document expressed concern that participation was only being used for its own sake. This was due to the concern that their views were not being acted upon once consultation ended. They demanded that the focus group workshops should not be merely used for consultation, but used as a means to allow all stakeholders to contribute to decision making, in which their views and concerns are acted upon. Although the extant literature emphasised the importance of stakeholders' participation in achieving sustainable development, it did not explicitly warn of the danger of merely using it as a consultation exercise.

Although this study shows and confirms the importance of stakeholders' participation and involvement in achieving sustainable development; there was evidence, however, of few interest groups dominating discussion and policy decision during the course of developing the *Havering Community Strategy*. This was particularly evident at the consultation events which witnessed the presence of a greater number of the over 50s. It was found that the latter group was keener on the issues around crimes and the environment. The challenge this poses for the HSP is that careful consideration is needed to ensure that few interest groups do not dominate the policy making process. Ways of engaging all

stakeholders with differing views are crucial to ensure that all views are considered in policy development. The extant literature did address this issue to a less extent.

There was no evidence of capacity building of key stakeholders in the development of *Havering Community Strategy*. This was crucial to achieving full participation of stakeholders in decision making. These included provision of practical and physical assistance (for example, transportation, disabled access and meeting cost of car parking expenses) to those less likely to participate in decision making due to financial hardship, disability, etc. This is less evident in the extant literature.

5.10.3 Economic Well-Being

As in social well-being theme above, the literature was very specific on the economic aspect of sustainability. At the grand and meso levels, the issues of concern on economic sustainability front are on job creation, investment, resources, physical infrastructures such as good roads, etc., education and security. Some of these issues overlap with the issues under social well-being. These issues are very similar at the substantive level (London Borough of Havering.).

The number of demands by the stakeholders at the focus group workshops opened up a number of issues for the HSP. One such issue relate to how Havering could thrive economically in a globalised market, and how it should attract investment so as to generate more jobs in the borough. Since Havering operates in a globalised world, it requires that it overhauls its image to facilitate inward investment from global, regional, national or local businesses and investors. Furthermore, there is a need to promote the

advantages of Havering to global, regional, national and local businesses, and its town centres to attract and retain businesses and to increase the number of visitors. This will partially make up for the loss of car production at Fords motors. However, participants for the study insisted that the types of businesses needed in Havering are large and sustainable international, regional and nation-wide businesses that can offer job security and decent wage for the residents of Havering, but not at the expense of the environment. An approach to achieving this would first of all involve developing an economic strategy for the borough. The strategy would also include the provision of seamless business support services for smaller firms.

What also emerged from the analysis was participants' acknowledgement of the need to understanding employers' skill needs and offering relevant training. These they considered key to changing employers' perceptions of local people's skill in a globalised world market. And whilst training and qualification courses can be developed with business sponsorship, it is also important to provide childcare, nursery schools, after school clubs to parents to enable them to work, according to the participants. Ensuring economic sustainability in Havering also requires that more attention is paid to helping those on really low incomes, including better benefits take-up, targeted training programmes, and supported employment. The importance of developing the transport infrastructure to achieve job creation and business development would be key factor.

The achievement of these economic aspirations at the substantive level requires both human and financial resources. There were limited financial and human resources (including technical expertise in consultation and in sustainable development principles) throughout the development of the *Havering Community Strategy*. For example, various

bodies that were partners in the HSP did not make equal financial (or in-kind) contributions to the partnership work as revealed in the analysis which is crucial to achieving sustainability. The use of local human resources and expertise in the delivery of local services better achieve sustainable development aims. These are explicitly addressed in the extant literature.

5.10.4 Environmental Well-Being

At the grand and meso levels, the issues of environmental sustainability as revealed in the literature are on the following: global warming, deforestation, ozone layer depletion, biodiversity, and pollution. At the substantive level (the London Borough of Havering) the issues identified and raised by stakeholders were similar to those at the grand and meso levels. They included but not limited to emissions, energy efficiency, transport, ecology and land use pattern. These issues have global implications in that their effects are not confined to the London Borough of Havering; they transgress Havering and UK boundaries.

Participants for the study recognised that environmental concern is pivotal to sustaining the future of Havering. The analysis revealed that environmental protection in Havering (the substantive level) comprises of activities designed to preserve the productive capacity of Havering's natural resource. This involves the monitoring and controlling of environmental pollution, conservation and efforts at the recovery of natural resources, and ecological thinking. This was in recognition that ecological thinking is an understanding of human interdependence with each other and of all life forms. Participants in the study

therefore recognised that solutions must therefore be found that work for the whole of the community thus contributing to the global quest for sustainability.

Concerns at the local level of activity for the environment as demonstrated by the participants for this study was a clear recognition that any environmental damage in Havering will not be confined to the borough of Havering, but has global implications. For example, the introduction of unwanted substances into the atmosphere constitutes pollution. This may cause untold damage, not only to human health, but also to other living resources and ecological systems, damage to structures or amenities, and interfere with the legitimate use of the environment beyond Havering. Economic development was seen as a major contributor to environmental pollution and degradation in many parts in Havering. As a result of this believe, participants warned of the consequence of economic development in Havering at the expense of the environment.

There was a particular emphasis placed on the role of pollution in Havering through car use. A strong support was therefore expressed for an integrated transport system to reduce the need to use private cars, which is seen as contributing to congestion and pollution in the borough of Havering.

Of equal concerns in Havering were the conditions of the streetscape, particularly the town centres. The issues raised were on litter and poor design. The former which can be in the form of canned drinks, food wraps, etc. lower the quality of the natural environment in Havering.

Poor design or inappropriately designed new housing units in Havering may be incompatible with the local architectural style, and/or blocking views. Study participants felt that badly planned layout of new housing units (high rise apartments), inadequate or inappropriate landscaping, excessive use of large and ugly advertising signs, and poor maintenance of buildings and landscaping can result in an unattractive environment for both visitors and residents in Havering. Large scale regeneration programmes are known to encourage a change in land use patterns. The presence of more residents relocating to Havering as a result of economic regeneration may allow the construction of more and more homes, even the conversion of existing houses to commercial high rise flats. The consequence of this action is dire. Firstly, a shortage of homes for local residents becomes apparent. Secondly, the situation can lead to a conflict between incoming migrants and residents, who see the former as competitors. This concern was evident in the analysis.

Construction of more buildings and upgrading and re-conversion of old ones for the incoming migrants from inner London boroughs do call for the provision of roads, pavements, schools, health facilities and other infrastructures. These have social ramifications in terms of competition for scarce resources with the host community. However, in its environmental implications, they increase damage and erosion through increased pedestrian and vehicular traffic, leading to higher repair costs.

5.10.5 Partnership Working

At the grand and meso levels, there is consensus in the literature of the role partnership working plays in achieving sustainability and sustainable development. The findings from the analysis of the raw data carried out suggest a strong presence of partnership working

at the substantive level (The London Borough of Havering). The partnership at the local level was instrumental in developing the *HCS*, which addressed the social, economic and environmental well-being of the borough of Havering.

From the outset when the New Labour Government came to power in Britain in 1997, the government had begun to emphasise the importance of local authorities in England and Wales, to begin to develop partnerships with key stakeholders in their area. These were to be constituted as Local Strategic Partnerships (LSP).¹¹ They were to engage in developing projects and overarching strategic plans for their local areas, which local authorities were supposed to provide the strategic leadership. In Havering, the partnership was formed as Havering Strategic Partnership.

Out of this partnership evolved a group called the Community Strategy Steering Group charged with spearheading the development of the *Havering Community Strategy*. This group was made up of a range of key stakeholders, representing the public sector bodies, voluntary and community groups and the private sector. In order to develop the community strategy for Havering, the group held a number of consultation events, including commissioning the University of East London to do a 'health check' of the borough, assessing what the issues were. These events culminated in the identification of various issues identified overleaf. However, guidance from the central government had been produced on what the ranges of issues were to be, although these were not prescriptive.

¹¹ Local strategic partnerships are bodies with representatives of the community, public, private sector and other agencies that work to encourage greater public participation in local governance by drawing together local community plans and producing an overall community strategy for each local authority area. Local development frameworks must have regard to, and should be the spatial expression of, the community strategy (Internet 6: 2009)

Through the workshop events in which community groups and other key stakeholders were engaged in consultation to develop the key issues that underpinned the *Haverling Community Strategy*, it was discovered that a number of local issues which otherwise would not have been very obvious to the policy makers in the Council were highlighted. The local issues identified by the stakeholders in Haverling during the course of developing the *HCS* were the same as those identified at the global level, through various international conferences on sustainable development discussed in Chapter Two. This finding demonstrates that a grass root or 'bottom-up' approach in which key issues and decisions emanate from the local community can contribute better to the aims of global sustainable development. This study demonstrates that this approach can work. The analysis, however, uncovered a number of issues which may hamper the achievement of sustainable development at the substantive level (Haverling). For example, although there was evidence from the analysis that the *HCS* was developed through partnership work, however, major themes and policy commitments for discussion at the focus group workshops were predetermined at 'the top' by the HSP management, and not from the grass root level. A 'bottom up' approach in which decision emanates from the grass root level achieves better sustainable development results, according to the requirements of the *Brundtland Report* on sustainable development, as revealed in the extant literature.

The analysis uncovered the presence of too many partnerships at the substantive level. There was the danger of partnership fatigue in which stakeholder organisations were made to attend several partnership meetings in which issues overlap. This may have greatly reduced the level of participation amongst the stakeholders, thus negatively impacting on achieving sustainable development. There is no mention of this in the extant literature.

There was also no evidence of broad based partnership in Havering at the substantive level. There was less evidence of members of the ethnic minorities and the youth in the make up of the *Havering Community Strategy* Steering Group. These groups were also absent in the consultation events held to develop the strategy document. Partnership for the sake of partnership that is not broadly representative of the local community does not achieve sustainable development aims. This was evident in the extant literature.

5.10.6 Joined-Up Working

The literature emphasise the relevance of joined-up working in achieving sustainability. At the grand and meso levels (the United Nations and the United Kingdom) joined up working are seen as a way of achieving policy objectives amongst member countries. At the substantive level (the London Borough of Havering) there is a strong evidence of joined-up working amongst key officers of the Council. Emphasis was particularly placed on joined-up working in achieving some of the policy objectives of the *Havering Community Strategy*. As services cut across various departments, it makes sense both in human resources and in financial terms to engage in joined-up working. This will facilitate successful sustainable development implementation.

Although there was evidence of policy integration across the council in the development of the *Havering Community Strategy*. However, this was only confined to the Council and its key officers and between departments within the Council. Policy integration and joined-up working between the Council and other non-council partners, particularly other public sector bodies in the borough, like the Health Service Sector, Fire Service, etc. was not strong or non-existent. Policy integration linking various departments within a local

government setting achieves better sustainable development outcomes. The *Brundtland Report* acknowledged policy integration across the board in achieving sustainable development. This was explicitly addressed in the extant literature. There was however, evidence of multi-agency working in the development of the *Havering Community Strategy*. The HSP consists of partners from various organisations representing the private, public and voluntary sector organisations. The HSP is responsible for the development of the *HCS*. The input of various stakeholders responsible for service delivery, and those of the community at large were crucial if sustainable development aims and objectives were to be achieved. For example, tackling crime using multi-agency approach achieves better sustainable development in a local setting. Crime reduction and prevention are one the sustainable development issues addressed by the *Brundtland Report*; this is explicitly addressed in the extant literature.

5.10.7 Communication

Communication is considered one of the drivers of globalisation in the literature. To a certain extent, the literature alluded to its importance in sustainability. However, at the substantive level, evidence of effective communication was lacking as part of the development of the *Havering Community Strategy*. Communication is crucial to achieving sustainability in which all local interests and stakeholders engage. Communication is essential in getting across the messages of sustainability to a cross section of the community in Havering. In the literature, communication and information technology are described as very strong drivers of globalisation which have had positive effects in spreading globalisation across the world.

There was less evidence of this in Havering at the substantive level. For example, the results of key partnership events and how services were delivered in Havering were not being effectively communicated to stakeholders. Although invitation letters were sent out to key stakeholders in the borough informing them of various consultation and partnership events to develop the *HCS*; the list of stakeholders sent these invitation letters was in-exhaustive, as the HSP relied heavily on words of mouth to spread the news of consultation events. There were a range of communication channels available that could have been used, namely, the internet, local radio station, leaflets distributed through doctors' surgery, post-offices, etc. The impact that the internet can play in disseminating information across various communities in the world is astonishing, as acknowledged in the literature. It is therefore not clear why the HSP had not made extensive use of this medium. Could it be that the HSP did make use of the medium, but that the majority of Havering residents, the target audience do not have internet access? There are both economic and social ramifications associated with the lack of widespread use of the internet in Havering. Any locality that wants to survive economically in a highly globalised and technologically driven economy would need to catch up with the rapidly developing technology.

5.10.8 Community Leadership

Achieving sustainability at the grand and meso levels require leadership which may come in different forms, either from the United Nations, the EU or national governments. At the substantive level, the achievement of sustainability and sustainable development was through the *HCS*, which was developed by the HSP. The latter assumed the leadership role of developing the *HCS* which addressed the social, economic and environmental well

being of the borough of Havering. The HSP was made up of various stakeholders in Havering, representing the public sector organisations, private sector, community and voluntary sector organisations. The HSP is, however, led by the London Borough of Havering, due to its size and its resources. More importantly, the London Borough of Havering was mandated by the *Local Government Act 2000* to act as the lead in strategic partnerships – the HSP is the local strategic partnership in Havering.

The results of the analysis indicated that other than developing the *HCS* to address the sustainability needs of the borough of Havering, other efforts were needed as demonstration of community leadership by the HSP. These were concerned with ensuring that policy commitments on sustainability developed through partnership at the substantive level are reviewed periodically and are monitored for effectiveness. The analysis also revealed that progress on key policy commitments developed at the substantive level should be regularly communicated to the stakeholders, as part of their being included and consulted in policy development.

Although it was acknowledged in the findings of the analysis done in this study that a ‘bottom up’ approach in which decision emanates from the grass root level achieves better sustainable development results. In other words, stakeholders in Havering were in some ways responsible for the sustainability issues addressed at the substantive level. However, it was also clear from findings from the analysis that guidance on how to achieve this and on incorporating sustainable development into plans, particularly at the local government level was crucial. Overall, the HSP was aided in their leadership roles by a number of governmental and legislative frameworks, such as in the PSA, LA 21,

Local Government Act 2000, other urban planning legislations, and government guidance notes on preparing community strategies.

5.11 Idealised Model Developed in Support of the Substantive Theory to Evaluate Sustainability in Policy Development

It was alluded to earlier in the study that an idealised model for developing a plan for sustainability will be developed as part of the study. This provides the mechanism with which policy makers can evaluate their approach to policy development for sustainability. In this instance, it assists in the evaluation of *Haverling Community Strategy* for the incorporation of sustainability in its development and the policies contained within the strategy document. This framework may be of interest to similar organisations in quest of sustainable development approach to policy development.

This section further benefited from the input of the study's action research team, particular, the Head of Community Management Team, who shared her thoughts on the model developed. Through reflection on her comments, the model developed was refined in 2006. However, in later year, 2007, the new HSP Policy Co-ordinator made further suggestions and comments, based on her current work on the revised *HCS*. The comments made form part of the final model developed. This approach is consistent with participatory worldview and action research methodology. Participatory inquiry paradigm allows for participation of other partners so that shared interpretations are developed. Torbert et al (2001: 3) wrote that "a participatory ontology treats the role of subjective experience in research as essential, and looks to the research process as a means of healing the split that so often exists among knowledge, experience, and action." Skrbina (2001: 1) echoed this by saying that "where the Mechanistic Worldview investigates the world via the scientific method, the Participatory Worldview uses new methodologies of participation and action research. Where the Mechanistic Worldview sees a universe of

dead inert matter, the Participatory Worldview sees a universe active, animated, and co-creative.” Action research is also congruent with the participatory approach. It seeks to research with people instead on people.

Bringing together a broad range of ideas from the literature reviewed on action research, sustainability, sustainable development and globalisation theory, and most importantly through the result of the substantive theory developed in Chapter Five helped in the conceptualisation and development of a model for sustainable development policy and community strategy formation. The model developed is being tested through carrying out a multi-criteria analysis of the published *HCS* for the incorporation of sustainability. The results of this exercise are presented in Appendix A.

The development of a model for sustainable development policy and community strategy formation established in this study (alongside the substantive theory in Chapter Five) fills the void identified in the study. This relates to the lack of research and mechanism on how to translate sustainable development principles into practical plans. This model it is hoped will provide the mechanism with which policy makers can evaluate their approach to policy development for sustainable development. In this instance, it assists in the evaluation of *Haverling Community Strategy* for the incorporation of sustainability in its development and the policies contained within the strategy document. This framework may be of interest to similar organisations in quest of sustainable development approach to policy development.

Sustainable Development Evaluation Criteria

The key elements of the global sustainability agenda outlined in Chapters Two and Four, the substantive theory and in the analysis in Chapter Five have been brought out and grouped under three headings: Environmental, Economic and Social Sustainability. Under these headings a range of headline indicators (see Table 2 in page 52) as identified by the Sustainable Development Commission in 2006 were proposed to undertake the evaluation of the *Havering Community Strategy* key policies.

The Generic Sustainable Development Policy Framework

By recognising that sustainable development policy should seek to maximise the positive impact on the key aims set out in Table 2 above, and address the limits to successful implementation outlined in Chapter Two (pages 53 to 55), a generic framework can be produced for sustainable development policy formation or development projects aimed to be sustainable. This indicates that policy should be grouped to address specific themes (CAG Consultants, 2002). These themes will be derived from the process of issue identification which will be specific to each location (as in Chapter Five on analysis) but take account of the sustainability agenda. The anticipated impact of the group of policies can be entered to help forecast the impact of the policies. The advantage of this framework lies in the fact that it can be used for policy development or policy analysis (Kim et al, 1999).

Policy analysis can be undertaken by relating the exact policies to issues and grouping them under themes. These themes can then be assessed in the framework, entering a

qualitative evaluation of the collective impact on the key aims of sustainable development, as represented in Tables 13, 14 and 15 below. For each impact, the limits to policy implementation should be identified that have not been addressed (Worrall, 1999).

Table 13: Generic Sustainable Development Policy Framework

Policy Theme

Policy Aim

Description

Description	Primary Aim of Sustainable Development Policy	Policy Impact	Policy Limits/Barriers			Commentary
			Social Limits/Barriers	Institutional/Infrastructure Limits/Barriers	Economic Limits/Barriers	
Environmental Sustainability Criteria						
	Transport: Private car use Public transport use Cycle and pedestrian route Emissions: Noise emissions CO2 emissions Particulate emissions Efficiency: Energy efficiency Waste efficiency Recycling of materials Water management Ecology: Biodiversity Habitat Land Use pattern: Use of derelict land Use of brownfield site Mixed-use development					
+ Positive contribution to S.D. policy aim		- Negative contribution to S.D. policy aim			0 No contribution to S.D. policy aim	

Source: from DETR (2000) and GLA 2 (2004)

Table 14: Generic Sustainable Development Policy Framework

Policy Theme
Policy Aim
Description

Description Primary Aim of Sustainable Development Policy	Policy Impact	Policy Limits/Barriers			
		Social Limits/Barriers	Institutional/Infrastructure Limits/Barriers	Economic Limits/Barriers	Commentary
Economic Sustainability Criteria					
Wealth Creation: Effect on existing business New businesses created Job Creation: Long-term jobs created Short-term jobs created Training skills to secure jobs Funding: Public sector funding Private sector funding Improve economic efficiency: Improve economic efficiency Improve integration of policy areas Improve quality of decision making					
+ Positive contribution to S.D. policy aim		- Negative contribution to S.D. policy aim		0 No contribution to S.D. policy aim	

Source: from DETR (2000) and GLA 2 (2004)

Table 15: Generic Sustainable Development Policy Framework

Policy Theme**Policy Aim****Description**

Description Primary Aim of Sustainable Development Policy	Policy Impact	Policy Limits/Barriers			Commentary
		Social Limits/Barriers	Institutional/Infrastructure Limits/Barriers	Economic Limits/Barriers	
Social Sustainability Criteria					
Equity: Improve equity of wealth creation Improve equity of access to facilities & services Improve intergenerational equity Community involvement: Local participation Local consultation Cultural: Cultural disruption Cultural harmony Resident accommodation: Local residents displacement Safety Designing out crime Tackling youth crime Reduce vehicle crime Health improvement					
+ Positive contribution to S.D. policy aim		- Negative contribution to S.D. policy aim		0 No contribution to S.D. policy aim	

Source: from DETR (2000) and GLA 2 (2004)

Theoretical Sustainable Policy Development Model

This section identifies the supporting mechanisms, or the generic process through which policy and implementation plan development should go through to ensure that successful sustainable development policy is formulated.

Drawing on result of the analysis in Chapter Five and key government guidance and policy documents on sustainable development policy formation (DETR, 2000; ODPM 2000, 1998; Gibbs, 1999; and SDC, 2006) and on other literature on sustainable development in Chapters Two and Four, the main issues identified that sustainable development policy development, like the *Havering Community Strategy* should address are social, economic and environmental sustainability, addressed as:

- Quality of life
- Equity – health, wealth and accessibility
- Environmental protection
- Education, cohesion and participation

The results of the analysis in Chapter Five and the following regional, national and international policy guidance documents on sustainable development policy development – some of which are identified in the literature review section (UNCED, 1992; ODPM 2, 2000; LGA, 2000; Cabinet Office, 2001; GLA 1, 2004; SDC, 2006) identified a process that should influence the process of developing a plan to implement sustainable development; this is described as:

- Partnership working
- Identification of needs and ability to develop location specific schemes and initiatives
- Resources
- Identification of limits
- Policy integration
- Implementation
- Monitoring
- Reviewing effectiveness of policy

In order to conduct a chronological analysis of the actual process of developing a sustainable development plan, a number of time-related conditions should be set based on the above model; this is a theoretical chronology. The actual chronology adopted in developing the strategy document can then be assessed against the theoretically derived sequence of event proposed. Similarities between the theoretically derived sequence of events and the actual sequence of event should confirm whether the process of developing a sustainable development plan was done in a sustainable way. In the analysis in Chapter Five, the following sequence of events, which were also identified in the literature by the following authors: Worral, 1999; UNCED, 1992; ODPM 2, 2000; LGA, 2000a; TGLP, 2006; LGA, 2000b; LGA, 2000c; DoE, 1995; and Geddes, 1998; are a sequence of events a sustainable development plan should go through in its development:

- the scope of the plan/strategy has to be set to embrace all of the sustainable development agenda before issues are identified.
- the partners need to be identified before the issues are defined and the objectives set
- the needs of all the main parties have to be identified before the objectives are decided

- sufficient organisational capacity has to be present to build community capacity before the community is engaged in the awareness-raising and attitude-changing aspects of the project
- the plan must link other plans and strategies, It should act as an overarching framework for other service- or theme-specific plans and, together with other key strategic plans
- targets and a definition of success have to be established before implementation
- A monitoring and review mechanism must be developed to monitor and review progress of the plan, ensuring that the activities identified in the action plan are carried out and assessing their success in addressing the priorities identified

The above idealised model is being tested for its validity by carrying out a multi-criteria analysis of the published *Haverling Community Strategy* and the process involved in its preparation. The results of this exercise are appended in this study as Appendix A. This has also necessitated revisiting Section 5.12.2 (page 283) of this study to reflect on the results of the multi-criteria analysis.

The theoretical framework proposed above sits well with the aim of an action research study which attempts to seek and effect change, and research with the people. It follows similar cyclic approach adopted in action research which starts with a planning phase, and then followed by action before a review takes place at the last stage of the cycle. This approach ensures that steps in action research study recur in similar order, at different phases of the study. This then leads towards appropriate action and research outcome.

5.12 Contribution to Knowledge through Substantive Theory: Relationship between Theory and Practice and the Outcome of Research Questions

5.12.1 The Key Issues that Underpinned the Havering Community Strategy, and how they were developed (*Research Question One*)

The literature review reveals that at the grand and meso levels, the issues of sustainability and sustainable development in policy terms centre on global warming, deforestation, ozone layer depletion, biodiversity, pollution, overpopulation, intergenerational equity, poverty, health, culture and economics. These issues are conceptualised in the literature as social, economic and environmental sustainability. (Meadow et al, 1972; Forester, 1968; Lovelock, 1965; Owen, 1991; Harding, 1998; Baker, 2008; Diesendorf, 2000; George and Kirkpatrick, 2007; Blewitt, 2006; Nemetz, 2007; IUCN/UNEP/WWF, 1991; WCED, 1987; Adams, 1990; Mitlin, 1992; Reid, 1995; Dobson, 1996; Lafferty, 1999; and Moffat, 2001). These variables of sustainability and sustainable development are affected either positively or negatively by the following drivers of globalisation: economics, politics, culture, the environment, information and communication technology, and international co-operation and agreements (IIED, 2000; Held et al, 2004; Keohane et al, 2004; Park, 2003; Reyes, 2001; and Rugman, 2000).

Are the above variables of sustainability and sustainable development relevant at the local level of government (substantive level)? This section attempts to draw together findings from the analysis and the substantive theory in Section 5.2 (page 203) through to Section 5.10 (page 263) to identify the key issues that underpinned the *Havering Community Strategy*, and how they were developed. This is in order to identify what the sustainability

issues are at the local level of activity, in this case, the London Borough of Havering; and also what sustainability means in practical terms. Are the local level sustainability issues similar to the global and meso level variables of sustainability; and are they driven by any of the drivers of globalisation?

The literature suggests the importance of stakeholders' involvement in decision making process as part of achieving sustainability (WCED, 1987). The literature also suggests partnership as the key to developing sustainable development plans. An essential part of the process of attaining sustainable development was identified as the active participation of all sectors of the community. A dedicated Chapter 3 of *Agenda 21* is related to empowering communities and identifies that sustainable development must be achieved at every level of society and that suitable partnership arrangements should be undertaken (UNCED, 1992: 28). The same chapter goes on to identify management related activities that should be undertaken by governments, with the assistance of and in co-operation with appropriate international, non-governmental and local community organisations, to establish measures that will directly or indirectly empower community organisations and people to enable them to achieve sustainable livelihoods and to adopt integrated policies aiming at sustainability in the management of urban centres (UNCED, 1992: 28)

This is congruent with action research methodology and participatory inquiry worldview. They both allow for participation of others so that their shared interpretations are developed. The participation of individuals and groups and the raising of their awareness to the sustainable development agenda are felt to be a "prerequisites for the success of policies and measures aimed at improving the quality of the urban and its surrounding environments" (OECD, 1997: 158). In the global and regional arena (the UN and the EU),

partnership has also become imperative in achieving consensus on a wide range of issues, particularly in reaching agreement on reducing CO2 emissions amongst member states.

There are a number of findings from the analysis in Section 5.2 through to Sections 5.10 which point to a strong presence of partnership working (including the involvement of the researcher) at the local level (Havering) in achieving sustainability. This is consistent with the study's research philosophy and methodology of participatory worldview and action research, which advocates collaborative approach to achieving research and action.

The study, therefore, demonstrates that participatory worldviews and action research are most appropriate for achieving sustainable development. This study therefore agrees with McCutcheon and Jung's (1990: 148), definition of action research in Chapter Three, page 101, when they wrote that it is a "systemic inquiry that is collective, collaborative, self-reflective, critical and undertaken by participants in the inquiry.

Their epistemological and ontological bases are also congruent with the theory of sustainable development, which put human purpose foremost. Participatory worldview "draws on all human values – social, political, aesthetic and spiritual, as well as the economic and scientific – as criteria for success" (Sato and Smith, 1993). Methodologically, action research sits well with this new paradigm in developing an understanding of sustainable development. This is because it "seeks to influence the phenomena being studied during the action research process itself, in the belief that the true nature of social systems (social, cultural and institutional considerations) become most evident when you seek to make changes to them" (Allen, 2001: 4).

This study also agrees with Dick (1999), in page 20, on the participative nature of action research. He contends that in most of its forms action research is participative (among other reasons, change is usually easier to achieve when those affected by the change are involved). As well as agreeing with the above, the study also agrees with the cognitive order view, as defined in Chapter Four, in page 170. Cognitive Order View “ascribes a sustainable future based on collective action and local communities as autonomous subjects within a self-reliant pattern of social organisation” (Spink, 1995: 3). It argues for a rethinking of development away from western rationality and economic reductionism; by re-evaluating the role of social actors in constructing and representing reality (ibid, 1995).

As revealed in the analysis, the development of the *Havering Community Strategy*, was done in a partnership way, in which all stakeholders, including the researcher (that is myself) were engaged in an effort to develop a strategy document which contributes to the global sustainability debate. Action research and participatory worldview allowed for a shared understanding of problems and solutions to be proposed.

This study also demonstrates how action research allows for the use of both quantitative and qualitative methods for both data collection and analysis. This, therefore, constitutes an advance to knowledge in the area of research methods, particularly in action research. The study used multi-faceted methods for data collection and analysis. This approach provided the flexibility to include other research methods, such as survey, usually attributed to positivistic research. Easterby-Smith et al (1991) call this approach of mixing methods a methodological triangulation. They contend that mixing methods prevents a research becoming method-bound. They reasoned that “the strength of almost every

measure is flawed in some way or other, and therefore research designs and strategies can be offset by counterbalancing strengths from one another” (ibid: 133).

And, from the analysis done in Chapter Five, Section 5.2 to 5.8 (pages 203 – 239), and the substantive theory discussion in Sections 5.10.2 to 5.10.8 (pages 249 – 263), it is evident that the issues which underpinned the *Havering Community Strategy* broadly covered three categories and strands of sustainability as identified in Section 4.4.3 (pages 171 – 182), namely, social, economic and environmental sustainability. In each of these categories, there were a range of themes identified under them. These themes then had a number of key commitments that underpinned them. These are described in Chapter Five, Section 5.2 to 5.8 (pages 203 – 239).

These issues are consistent with a number of the literature in Chapters Two and Four. For example, it is consistent with Table 1 in Chapter Two (page 49), which presents issues and process of developing a plan to implement a sustainable development. The issues presented in Table 1 in Chapter Two are: protection of natural environment; minimal use of non-renewable resources and reduction of waste outputs; place-based economic vitality and diversity; satisfaction of basic human needs; social equity (intra-generational equity) and intergenerational equity. The study also supports the findings of the Brundtlandt Report, which argues for an approach to developing a sustainable development plan that is socially, economically, environmentally and politically based. It emphasised the need to strike a balance between the economy, environment and society to achieve sustainable development (WECD, 1987).

Adjaye (2005: 317) explains this as follows: “for example, a proposal first has to be economically and financially sustainable in terms of enhancing growth and making efficient use of scarce resources. Secondly, it must be ecologically sustainable. This can be determined in terms of its impact in terms of ecosystem integrity, carrying capacity and conservation of natural resources including biodiversity. Finally, it must be sustainable in terms of certain social criteria. These include equity, social mobility, social cohesion, participation, empowerment, cultural identity, and institutional development.”

In achieving sustainable development, a policy framework is proposed by the *Brundtland Report*, and the most relevant to urban development, regeneration and local government community planning are in:

Managing climate change; this policy area addresses global warming by promoting reduced emissions of greenhouse gases, primarily CO₂. Air pollution in urban areas contributes to global warming and is caused by the use of fossil fuels for both industry and in the growing use in motor vehicle travel. This policy area has strong links to all four points of the *World Conservation Strategy* (WCED, 1987: 174-178).

Continuing this theme, the second area considers improving energy efficiency. This relates to the impact of pollutants on health and CO₂ on global warming. Improving energy efficiency, using renewable energy sources and discontinuing the use of fossil fuels are seen as areas for progress (WCED, 1987: 189-200).

Improving health is the third policy area. This expands on the consideration of the impact of pollution on health mentioned above to consider the wider impact of poor health on

poverty and wealth creation which can be addressed through improved access to clean water, healthcare and health education. Maternal and child health being of particular importance (WCED, 1987: 109-111).

The fourth policy area is on broadening education. This policy recognises that sustainable development requires changing people's attitudes and practices. This is addressed by promoting broadening education at all levels to alleviate poverty and to help individuals understand the relationship between the natural and man-made environment and the impact of development on these in a process 'cutting across the social and natural sciences and the humanities' (WCED, 1987: 113). This helps individuals to make informed choices to facilitate the reversal of unsustainable development policies (WCED, 1987: 326). Empowering vulnerable groups is also seen as critical.

The fifth area addresses the problems of uneven access to wealth creation, high requirements for transport, and urban migration. It introduces the concepts of spatial planning, with consideration being given to choices for differential development between areas, cities and the more rural hinterlands. This policy area has strong linkage to the first and third points of the *World Conservation Strategy* (WCED, 1987: 107-108).

As well as this study's findings being consistent with the literature cited above, this study also highlights a number of issues which were not obvious or addressed in the literature thus contributing to knowledge in the area of local practical application of sustainability. These issues relate to the relevant prerequisites in developing plans that achieve the aims and objectives of the sustainable development agenda. This, in fact is one of the gaps identified in the literature. In Chapter Two, Section 2.2.4, this shortcoming was

acknowledged by Adjaye (2005: 317), in pages 44, when he wrote that “although there are many definitions of Sustainable Development, practical measures to translate them into specific plans are in short supply.”

Some of these issues which became evident in the analysis in Chapter Five are related to the following: the need to use stakeholder participation for genuine involvement in policy development and in decision making process. This point was reinforced by a number of the participants at the workshops developing the *Havering Community Strategy*.

There were also issues around the use of effective communication methods to reach as diverse an audience as possible in developing the strategy document. This relates to the use of plain English instead of jargons, sign language when needed, regular feedback to the residents on progress or lack of it on issues raised. The wider issue of developing a clear communication strategy was also considered vital. The use of information technology which has so far revolutionised globalisation was identified by study participants to be lacking at the substantive level of sustainable development policy formulation. The effect of the latter in negative terms was not relevant or was not an issue at the substantive level. The analysis pointed to the positive impact of technology in disseminating information widely to a very large audience, which is required in sustainability, if all are to be informed and participate in decision making process, either at the global, meso or substantive level.

This study also shows that although stakeholder participation and involvement are crucial to achieving sustainable development, as demonstrated overleaf. It is also the case that few interest groups could dominate decision making. This was particularly evident at the

consultation events, which witnessed the presence of a greater number of the over 50s. It was found that this group was particularly keen on the issues relating to crime and the environment.

Other pertinent issues which came up in Chapter Five on analysis, relate to the need to build the capacity of residents and community groups to be widely represented in policy making and decision making. This relates to the ethnic minorities and the young who for various reasons were absent in all major consultation events held during the development of the *Havering Community Strategy*. The issue of both financial and human resources were highlighted. These would assist in achieving the previous issues raised on capacity building. This is consistent with UNCED (1992), in Chapter Two, page 37, when it states that management related activities should be undertaken by governments, with the assistance of and in co-operation with appropriate international, non-governmental and local community organisations, to establish measures that will directly or indirectly empower community organisations and people to enable them to achieve sustainable livelihoods and to adopt integrated policies aiming at sustainability in the management of urban centres.

5.12.2 The Indicators Used in the Havering Community Strategy to Contribute to the Global Sustainable Development Debate and their Effectiveness in Achieving Sustainability in Urban Regeneration in Havering (*Research Questions 2a and 2b*)

In dealing with the above, there was a need to engage in critical reflection by revisiting the analysis done using the multi-criteria analysis method, after the substantive theory had been developed. This is a valid form of action research process, in which critical reflection forms part of the action research cycles, to achieve action (or change) and research (or understanding). As Dick (1999) wrote, in most of its forms it does this by, using a cyclic or spiral process which alternates between action and critical reflection and; in the later cycles, continuously refining methods, data and interpretation in the light of the understanding developed in the earlier cycles. Action research is thus an emergent process, which takes shape as understanding increases; it is an iterative process, which converges towards a better understanding of what happens.

In light of further understanding gained from the multi-criteria analysis carried out in Appendix A, I have had to revisit this section of the study to reflect the new insight gained.

There are a number of findings from the analysis in Chapter Five and the multi-criteria analysis in Appendix A to suggest that the range of sustainability indicators used at the substantive level reflect the global and meso level sustainability variables which are able to contribute to regeneration of the London Borough of Havering. The initial summaries of the findings relating to the question in Section 5.12.2 above are contained below:

integrated and holistic sustainability: The *Havering Community Strategy* addressed the three strands of sustainability as identified in the literature, namely economic, social and environmental sustainability. The HSP and the Council recognised the mutual interdependence between economic development and environmental sustainability. This therefore agrees with the literature in Chapter Two, page 57, when Daneke (2001) argued that sustainable development does not separate environmental consequences from social and economic ones.

institutional sustainability: There was no clear evidence of institutional capacity to achieve sustainability in Havering. Institutional sustainability was strongly advocated at the 1992 Rio conference on sustainable development, by the *Brundtland Report* on sustainable development, and explicitly addressed in the extant literature.

social, institutional, infrastructure and economics limits: There were a number of social, institutional, infrastructure and economic limits identified that potentially could hamper the successful implementation of sustainable development in the London Borough of Havering. These limits are explicitly addressed in the extant literature.

social cohesion: The analyses in Appendix A suggest that whilst physical regeneration programmes could achieve economic prosperity, it could also create tension between different cultures. This is the social aspect of the sustainable development agenda, as addressed in the *Brundtland Report* and in the extant literature.

In Chapter Two, Table 2, page 52, a summary of key headline indicators for the evaluation of Sustainable Policy Development was presented. By recognising that

sustainability policy should seek to maximise the positive impact on the key aims set out in Table 2, a generic framework can be produced for sustainable development policy formation or development projects aimed to be sustainable. This indicates that policy should be grouped to address specific themes (CAG Consultants, 2002). These themes will be derived from the process of issue identification which will be specific to each location but take account of the sustainable development agenda. The anticipated impact of the group of policies can be entered to help forecast the impact of the policies. The advantage of this framework lies in the fact that it can be used for policy development or policy analysis (Kim et al, 1999).

Policy analysis can be undertaken by relating the exact policies to issues and grouping them under themes. These themes can then be assessed in the framework, entering a qualitative evaluation of the collective impact on the key aims of sustainable development, as represented in Tables 16, 17 and 18 in Appendix A, pages 328 - 330. Based on this model, the multi-criteria analysis in Appendix A was carried out, and the findings of this analysis showed that the potential impact of the *Havering Community Strategy* on the proxies of sustainable development plan as shown in Table 2, in Chapter Two (page 52) was very strong.

The proxies of sustainable development as contained in the *Havering Community Strategy* cut across a wide range of areas identified in the literature, which are likely to impact on the environment, the economy and society. Chapter Five, Section 5.4 (pages 215 – 220), and section 5.10.4 pages (254 – 256), and Appendix A revealed the proxies on the environment at the substantive level as transport, emissions, energy efficiency, ecology and land use pattern. The proxies on the economy in Chapter Five, Section 5.3 (pages 213

– 215), and Section 5.10.3 (pages 252 – 254), and Appendix A, on the other hand are on wealth creation, job creation, funding and improved economic efficiency. On the society, the proxies based on the findings in Chapter Five, Section 5.2 (pages 203 – 212), and Section 5.10.2 (pages 249 – 252) are on equity, community involvement, culture, residents accommodation, safety and health improvements. These are consistent with the literature which listed in Chapter Two, Table 1 (page 49) environmental protection, economic growth and social justice (equity); with their underpinning principles contained in Table 2 (page 52), as the main issues associated with sustainable development. These, therefore, suggest that the indicators used in the *Haverling Community Strategy* (the substantive level) **are effective enough to contribute to the global sustainable development debate.** It also suggests that the range of indicators identified at the substantive level - Haverling (which are also similar to those identified as global sustainability indicators in the literature) **are able to contribute to successful urban regeneration in Haverling.** These findings support the claim that events at local level of activities do shape events at the global level and vice versa.

Efforts at local level at contributing to the global quest for sustainability were identified as a gap in literature (International Institute for Environment and Development, 2000). Mega (1996) argues that in making sustainability plans, emphasis should also be on linking the local to global concerns. The findings in this study agree with Berke (2000: 21) who offers a new definition of sustainability based on the need to link local actions to the overall global quest for sustainable development. "Sustainable development is a dynamic process in which communities anticipate and accommodate the needs of current and future generations in ways that reproduce and balance local social, economic, and ecological systems, and link local actions to global concerns." This definition emphasised

the need for deriving a “more refined and comprehensive set of sustainable development principles for guiding an evaluation of local comprehensive plans” (ibid: 21).

The study findings further agree with Voisey (1998), Held (2004), IIED (2000), Mega (1996) and Berke (2000) in the literature. Voisey (1998), in page 78, argued that sustainable development is both globalising and localising, as demonstrated by the phrase: ‘think global, act local’. It requires a global awareness of the interconnectedness of processes, places, and people as well as their relationship to each other that will change attitudes and behaviour at a local level. It also requires local implementation and so has to be adapted to this context. It is about both co-operation at a global level, and local communities making decisions about how they are going to implement sustainability principles. Mega (1996), in page 80, argues that in making sustainability plans, emphasis should also be on linking the local to global concerns.

The findings in this study have demonstrated that research and local knowledge mobilisation are integral part and components of sustainable development process. They also demonstrate how local concerns are linked to global concerns; and that local happenings are shaped by distant events as much as distant events are shaped by local happenings. This is demonstrated in the fact that although the issues that underpinned the *Havering Community Strategy* are local to Havering, they are nonetheless the same as issues discussed at the national, regional and global levels. This is consistent with the literature in Section 4.4.4 (page 191) when Yanerella and Levine (1992) opined that if the issue of sustainability is addressed at the local level, it is more than likely that changes will be seen and felt in a more immediate manner. This is because it is at the local level of

social organisation where the consequences of environmental degradation are mostly felt and where successful intervention is most noticeable.

The *Havering Community Strategy* appeared from the analysis in Chapter Five and Appendix A to have been done in an integrated and a holistic way. The integration of the three strands of sustainable development agenda in the policy documents proved this. The three strands identified in the literature are economic, social and environmental sustainability. Havering council, therefore, recognised the mutual interdependence between economic development and environmental sustainability. This, therefore, agrees with the literature when Daneke (2001) argued that sustainable development does not separate environmental consequences from social and economic ones.

This holistic and an integrated method also represent the Brundtland approach (cultural relative view) advocated in the literature. Dilcock's (2005), viewed the Brundtland approach as a response to both environmental and moral imperatives, which requires the consideration of intergenerational equity and equity for the present human inhabitants of the planet. "Sustainable development, therefore, recognises an inextricable link between a concern about human welfare and concern for the human environment. The approach advocated by Brundtland, offers a fundamental challenge to the materialist and consumerist values of the majority of the developed world" (ibid: 1).

Analysis in Chapter Five and Appendix A also suggested that the issues covered in the *Havering Community Strategy*, are inconsistent with the neoclassical and strong sustainability approach advocated in the literature. From the analysis in Chapter Five, it appeared that this was because the HSP and the Council recognised that economic

development and social equity should not be pursued at the expense of the environment and vice versa. Participants in the study specifically mentioned the need not to pursue economic prosperity at the expense of Havering's environment. This therefore agrees with Daneke (2001) who argued that sustainable development does not separate environmental consequences from social and economic ones.

The findings in this study also reveal that sustainable development maybe at loggerhead with globalisation. This is because the former aims at achieving a cohesive, consensus seeking and partnership approach in which all stakeholders (rich and poor) attain a decent level of economic, social and environmental well-being, as demonstrated in the *Havering Community Strategy*. Globalisation as a phenomenon as revealed in the literature appears to contrast the above.

The opposing tendencies of these two paradigms were presented in Chapter Two, page 73 by Ikeme (1999), when he wrote that globalisation appears to be at loggerheads with the principles of sustainable development, because the latter advocates fairness and equitable distribution of resources, compared to the former which advocates survival of the fittest.

The statement by Ikeme (1999) in page 74, which describes the attribute of globalisation as requiring that governments should not interfere with the free play of the market; as well as the neoclassical approach to sustainability in Chapter Four, page 165, seem to be in disagreement with this study. This is because this study has demonstrated that state intervention in for instance, environmental control measures are needed in order to achieve sustainable development. Also, the development of the *Havering Community Strategy* is a statutory requirement under the *Local Government Act 2000*. For ease of

reference, in Chapter Four “neo-classical economic theory suggests that, if left alone, the free market will result in the 'efficient' use of resources” (WBCSD, 2001). Neo-classical viewpoint suggests that technological improvements will, eventually, lead to a sustainable level of consumption. Resources that become scarce will be replaced through the operation of the market (Pacheco-Vega, 1999). Based on this definition and the findings of this study, it is doubtful whether market forces and technology alone are able to guarantee sustainable development, as defined and argued in the literature.

Sustainable development theory as presented in this study was done in the context of globalisation theory. This is because globalisation is central to the debate in sustainable development. For example, globalisation has contributed to the expansion of the world economy, caused major shifts in the composition and location of production and consumption activities and reduced the ability of national and local governments to act unilaterally. This thus poses a challenge to national and local governments, like the London Borough of Havering, which needs to operate in a global environment. Globalisation also presents untold threat to the environment. As well as exacerbates inequality between the rich and the poor, particularly between the poor south and the rich north.

Those already taking advantage of globalisation will continue to enjoy the benefit of the phenomenon, whilst those not already involved will be marginalised. Ikeme (1999) contends that globalisation seems to be at loggerheads with the principles of sustainable development. He contends that sustainability approach represents a paradigm for international relations, which is, that of

“consensus-seeking, incorporating the needs of all countries (big or small), partnership in which the strong would help the weak, integration of environment and development concerns, the intervention of the state and the international community on behalf of public interest to control market forces so as to attain greater social equity and bring about more sustainable patterns of production and consumption.”

Globalisation on the other hand represents a different paradigm, with emphasis on liberalization.

“It advocates the reduction or cancellation of state regulations on the market, letting ‘free market forces’ reign, and a high degree of rights and ‘freedoms’ to the large corporations that dominate the market. The state should intervene only minimally, even in social services. On the environment, instead of intervening in or imposing environmental controls, the market should be left free on the belief that this would foster growth and the increased resources can be used for environmental protection. This approach also sidelines concerns of equity, or the negative results of market forces, such as poverty and non-fulfilment of basic needs. It assumes that market will solve all problems” (Ibid: 7)

Other important findings from the analysis in Appendix A related to the limits by a number of factors that could hamper the successful implementation of sustainable development policy. These were social, institutional/infrastructure and economic limits. For example, the *Haverling Community Strategy* addressed all the relevant sustainability issues relating to transport, particularly on reducing the need to use private cars. However, from the analysis, there was no policy commitment to educate and persuade people to switch their mode of transport. The difficulty involved in making people switch modes from cars to public transport, cycling or walking, therefore represented the social limit that may hinder progress towards sustainable development in Haverling. There may also be economic limits relevant in this area, in that, the resources needed to entice people to change their mode of transport might be lacking. The incentive could come in the form of subsidising the public transport to make it cheaper to use by the public.

Other noticeable limit identified through the analysis related to funding, particularly on transport. Transport in the borough of Havering was (and is currently) centrally or nationally procured. This means that funding for the upgrade and development is dependent and subject to regional and national government priorities. The policy document did not address what efforts would be made to secure the necessary investment from the relevant bodies. This represented economic limit that could hinder progress towards sustainable development.

The limits identified above were inconsistent with the findings of the following researchers as highlighted in Chapter Two. Lucas et al (2001), Worrall and Ola (1999), Williams and Thomas (2004), UNCED (1992), Laird (2000) and, OECD (2004), all contend that successful implementation of sustainable policy and projects can be limited for a number of factors. These factors were given as, social limits, economic limits, institutional limits and infrastructure limits.

There was also no evidence of strong institutional and infrastructural capacities within the Council in the first three years when the *Havering Community Strategy* was being developed. Most of the partner organisations involved in the development of the *HCS* lacked the relevant skills required to carry out project management and consultation techniques. Most importantly, the analysis revealed that participants at the consultation events and focus group workshops, expressed concern and apprehension at the fear of crime, particularly in city centres. They attributed this to inadequate police officers on the beat. The latter represent lack of adequate institutional capacity on the part of the Borough of Havering. This shortfall was perhaps attributable to inadequate funding and resources. Funding for most of the initiatives and policy commitments in the *Havering*

Community Strategy were centrally and regionally procured. These funding streams were subject to the priorities of the regional and national funders. It was likely that sustainable development priorities and objectives set in Havering were not within the strategic objectives or priorities of the funders, hence the reluctance to grant funding to Havering. Equally, the funding available was subject to stiff competition from other local authorities in similar settings.

There is, however, a consensus in the literature that these issues as identified above are vital to achieving sustainable development. For example, UNECLAC (1991) suggest that institutions encompass all those norms and relationships (i.e., decision-making systems) which make it possible to expedite and consolidate changes in production patterns while promoting greater social equity. UNCED (1992) identified the institutional dimension of sustainability. *Agenda 21* contends that the lack of institutional capacity can have a fatal effect on attempts to move towards sustainable development. The institutions involved in the process of developing and implementing sustainable development need (amongst many other things) the capacity to:

- integrate policy across sectors;
- engage the public in a meaningful process of education, awareness raising and sustainable development policy formation;
- instigate a review of internal processes and attitudes

Failure in any of these, or many other institutional areas of action, can in the worst case, lead to distrust and a worsening of the urban situation (UNCED, 1992).

5.12.3 The Framework Used for Integrating Sustainable Development Principle Into the Havering Community Strategy Development Process (*Research Question 3*)

What are the relevant ingredients in successfully implementing sustainable development at the local level of government? Findings from the analysis in Chapter Five revealed a number of factors.

The analysis done in Chapter Five suggested that the preparation of the *Havering Community Strategy*, was similar to the sequence of events described in Chapter Two, Section 2.2.4, page 50 by Worral, 1999; UNCED, 1992; ODPM 2, 2000; LGA, 2000a; TGLP, (2006); LGA, 2000b; LGA, 2000c; DoE, 1995; and Geddes, 1998. The above authors suggest an idealised model of the process of developing a sustainable development plan as: identifying and meeting needs of the community; partnership/multi agency working; policy integration and; monitoring of outcome of plan developed. Based on this model, they propose the following sequence of events a sustainable development plan should go through in its development:

- the scope of the plan/strategy has to be set to embrace all of the sustainable development agenda before issues are identified.
- the partners need to be identified before the issues are defined and the objectives set
- the needs of all the main parties have to be identified before the objectives are decided
- sufficient organisational capacity has to be present to build community capacity before the community is engaged in the awareness-raising and attitude-changing aspects of the project

- the plan must link other plans and strategies, It should act as an overarching framework for other service- or theme-specific plans and, together with other key strategic plans
- targets and a definition of success have to be established before implementation a monitoring and review mechanism must be developed to monitor and review progress of the plan, ensuring that the activities identified in the action plan are carried out and assessing their success in addressing the priorities identified

Havering's approach was consistent with the above researchers. However, the findings in Chapter Five revealed that policy integration within the Havering Strategic Partnership overseeing the development of the *Havering Community Strategy* was weak. The *Havering Community Strategy* was seen as the guiding strategic plan which informed other plans in the Council. Equally, other plans and strategies in the borough were linked to inform the preparation of the *Havering Community Strategy*.

However, other partners, particularly the public and voluntary sector bodies perceived the strategy document differently. The Director of Age Concern in Havering opined that the *Havering Community Strategy* did not guide the function of her organisation, although she was involved in the preparation of the strategy document. The public sector organisations in Havering expressed similar sentiment.

This study also highlights that the input from the international, nation and regional governments are crucial in achieving sustainable development at the local level. This input could come in the form of legislation and guidance on how and why there is a need for striving towards achieving sustainable development. At the meso level, in this case,

the UK, policy development in the area of sustainability is guided by the directives from the United Nations Conferences on the subject, as presented in Chapters Two and Four. It is also guided by the EU (regional guidance on sustainability). At the local level (Haverling), guidance and requirements on developing sustainability policy documents as in Community Strategy came in the form of legislation through the *Local Government Act 2000*. The latter Act statutorily required local authorities in England and Wales to develop a community strategy, to ensure the economic, social and environmental well-being of their area. It was against this backdrop that the *Haverling Community Strategy* was born. Although, according to the Head of Regeneration, the Council and its partners had started the process two years before the Act came into force. It is possible that this was prompted by the 1998 government's white paper which began looking at modernising the way local government worked in England and Wales. The latter white paper, subsequently led to the *Local Government Act 2000*, referred to above.

5.13 Discussion about the Research Problem

In Section 1.2, the research problem was identified as the lack of adequate research into how to translate the sustainable development theory into practical measures as acknowledged by Adjaye (2005). This presents policy makers, including local authorities like the London Borough of Havering with challenges on how to translate sustainable development aims and objectives into plans and strategies. Section 1.2 also highlights the neglect of the role local actions can play in achieving sustainable development (IIED, 2002 and Mega, 1996).

The problem of lack of adequate knowledge of the mechanism and process involved in developing sustainable development plan, due to the identified issue above, contributed to the add-on and ad-hoc manner in which sustainable development permeated the development of the *Havering Community Strategy*. This conclusion was reached based on my involvement in the preparation of the strategy document, as the Council's Regeneration Officer (Strategy). Resource constraints (both financial and human resources) were also an issue and had hampered the successful implementation of sustainable development aims and objectives in the *Havering Community Strategy*.

Blowers (1994: xi) wrote that "sustainable development is not something to be achieved on the margins, as an add-on to current policies, but requires a fundamental and revolutionary change in the way economies and societies are developed and managed. Sustainable development is an integrating theory bringing together local and global, short and long term and environment and development."

The survey questionnaire of key Council Officers carried out and reported in Chapter Five (see also Appendix D, pages 354 – 358) revealed that the principles of sustainable development permeated the development of the strategy document. Eight of the 14 officers who returned the survey questionnaire, believed that sustainable development theory was partially adopted in the preparation of the *Havering Community Strategy*. This was in contrast to the view of 5 officers who strongly believed that the theory permeated the development of the strategy document. This survey confirmed and was consistent with the view expressed in Section 1.2 that the theory of sustainable development permeated the development of the strategy document and the policies contained within it, but only partially, and in an add-on way. This was due to resource constraint, lack of adequate knowledge of sustainable development principles and inadequate funding.

The analysis in Chapter Five and the analysis result of survey questionnaire in Appendix D (pages 354 – 358), however, did not totally support the assertion of lack of adequate knowledge of sustainable development principles by key officers in the Council. This was because, 11 of the 14 officers who returned the survey questionnaire indicated that they had an understanding of sustainable development. Also, 3 of the officers out of the total 14 said they had partial knowledge of the theory. This claim was reinforced by the response to two further questions in the survey questionnaire which asked the officers whether they knew if the Council had an officer responsible for sustainable development; and whether the *Local Agenda 21* officer had communicated to them and their department what sustainable development or *Local Agenda 21* was. Majority of the responses to the two latter questions were yes, that is, 10 out of 14 officers answered yes to the two questions. It may be possible however, that those claiming knowledge of the theory were doing so in order to be seen or perceived as knowledgeable.

Although, the majority of the officers who participated in the survey exercise indicated that they had knowledge of sustainable development. There was no way of ascertaining the veracity of their claim. However, on reflection, a follow-up interview specifically designed to test their claim of sustainable development knowledge should have been carried out.

Evidence from the analysis in Chapter Five also indicated that resource constraint and lack of funding were contributory to the ad hoc approach adopted in the development of the *Havering Community Strategy*. In Chapter Five, it was identified that only two Council staff members spent significant amount of time on the preparation of the strategy document. These officers, who were based within the Regeneration and Strategic Planning Unit of the Council, devoted 80 percent and 60 percent of their time respectively to the development of the strategy document. This meant that the role of community and partners' consultations and capacity building were devolved to other staff members from other departments, notably the Community Area Management team.

It was also established in Chapter Five that there was no especially dedicated budget to the process of developing the *Havering Community Strategy*. The Regeneration and Strategic Planning Unit met all the costs involved in the process. There were no financial contributions made by other non Council partners within the HSP partnership that developed the strategy document. These issues are crucial to achieving sustainable development. They were of particular concern to the voluntary, community and resident groups who participated in the workshops and consultation events conducted to develop the *Havering Community Strategy*.

As demonstrated in Chapter Five, resources in terms of human and financial aspects are required to build the capacity of residents and community groups so that they may be widely represented in policy making and decision making. In particular, the ethnic minorities and the young who for various reasons were absent in all major consultation events held during the development of the *Havering Community Strategy*. The issues of both financial and human resources are consistent with UNCED (1992), in Chapter Two (page 37), when it states that management related activities should be undertaken by governments, with the assistance of and in co-operation with appropriate international, non-governmental and local community organisations, to establish measures that will directly or indirectly empower community organisations and people to enable them to achieve sustainable livelihoods and to adopt integrated policies aiming at sustainability in the management of urban centres.

In summary, evidence from the analysis done in Chapter Five suggested that the aims and objectives of the sustainable development principle were met in the development of the *Havering Community Strategy*. However, there were deficiencies as identified in the discussions overleaf. How these deficiencies can be overcome, to achieve a holistic and an integrated strategy document that embraces the requirement of the global sustainability debate is the subject of the next section, which is the concluding chapter.

5.14 Conclusion

In this chapter, I have examined data from the fieldwork and categorised evidence generated in seven interlinked themes (social well-being, economic well-being, environmental well-being, partnership working, joined-up working, communication, and

community leadership). The data collection and analysis were through methods of semi-structured interview, focus group workshops, documents, questionnaire survey and participant observation; using in the main, conceptually clustered matrix approach, data triangulation and general inductive methods for the analysis, and multi-criteria analysis as a supporting analytical tool. The mix of methods used ensured the credibility, validity and reliability of the study as it allowed data to be cross referenced from various sources to disconfirm or confirm issues as they arise. Employing action research as a methodology also enriched this process through the use of reflection and study participants in the analysis of data collected.

In Chapter One, one of the objectives set out was the development of a substantive theory through results of the analysis carried out in Chapter Five. It is hoped that this objective has now been met through the substantive theory developed in this chapter, thus contributing to knowledge in the field. This chapter has also attempted to answer the research questions and also addressed the issue identified as the research problem, through the data collected and analysed. The use of questionnaire survey was particularly useful in this endeavour. This then justifies the claim by Bryman (2004) and Hussey and Hussey (1997) that surveys can also be useful in action research and qualitative studies generally, particularly when used as a secondary data source to enrich the understanding of the qualitative data gathered using other methods such as interviews and focus group.

Although the findings in this study are specific to Havering, however, the propositions may be of professional interest to others working in a similar field. On the basis of the findings of this study and the substantive theory developed through action research, the study can now proceed to the final chapter below, where the conclusions and implications are discussed

CHAPTER 6: CONCLUSIONS AND IMPLICATIONS

6.1 Introduction

In order to assist the readers to make sense of the work presented in this study, this last chapter is divided into three distinct parts. The first section restates the study's contribution to knowledge (theoretical contribution). This section of the study also assesses whether the aims and objectives set out in Chapter One of the study have been achieved. This will be followed by the contribution to practice (empirical contribution). The last section reflects on the research journey and takes a further look at the study limitations. In action research, reflection forms part of the spiral of cycles. It is usually the last in the spiral of cycles, where lessons learned in the research process or in the previous cycles are reflected upon to form part of the next stage of action. In this instance, the reflection phase being described relates to the overall journey of carrying out this study; what lessons have been learnt or what could have been done differently. According to Mertler (2006), this process often involves the re-review of the overall research process, including but not limited to the literature in conjunction with the findings of ones study. This is being done in this section of the study.

In Chapter One, one of the aims of this study was identified as finding ways of translating sustainability and sustainable development aims and objectives into practical means in a local government setting within the UK, thereby contributing to knowledge in this area of paucity of research. In order to achieve the stated aim, a set of supporting objects were identified, namely to:

- use action research methodology to accomplish the study aim
- propose three levels of abstraction in the forms of globalisation theory, sustainability theory and applied sustainable development. These were being conceptualised as grand theory, meso theory and substantive theory respectively; with the linkage between these theories being established, in order to contribute to and provide an insight into the sustainability debate and processes at global, national (UK) and local (Havering) levels
- to use the London Borough of Havering as a case study to demonstrate how sustainability and sustainable development are applied in a real life situation. The latter was going to be achieved through evaluating the case study organisation's community strategy, called *Havering Community Strategy* using multi-criteria analysis.

In achieving the aim and objectives set out above, the study, it is believed has contributed to knowledge in the area of paucity of research. The gap in literature (which constitutes the area of paucity of research) relates to the neglect of the role actions at local levels can play in contributing to the sustainable development debate. In the following, the theoretical and empirical contributions of the study are restated. This is followed by the limitations of the study, before the concluding section deals with the possible directions for future research.

6.2 Contribution to Knowledge and Implication for Theory

Following from Mertler (2006) approach as described at the beginning of this chapter, and in order to evaluate the contributions made by this study, it is necessary to refer back to Chapters Two and Four which jointly established the basis for the study. Chapter Two discussed the issues involved in sustainability, sustainable development and globalisation theories. An initial overview provided a clarification on how the theories of sustainability, sustainable development, and globalisation are used in the literature. Here definitions, issues and gaps in the literature were identified.

The literature revealed that there are numerous definitions of sustainable development as a theory; and that there are various approaches adopted by various researchers in the understanding of the theory of sustainability. Some have taken a neoclassical view, whilst some have advocated strong sustainability (environmental stance) or Brundtland approach (cultural relative approach). It was also discovered that a new approach has emerged called cognitive order view in the way some researchers understood sustainable development. However, there is limited research done on the latter to-date.

Although there are varying views on how sustainable development should be defined, approached or understood in the literature, there is consensus on the issues addressed (although the degree of emphasis on the issues vary, and this is dependent on which approach is adopted by the researchers, as indicated above). There is, however, a consensus that the need to strike a balance between the economy, environment and society to achieve sustainable development is paramount. Thus the issues addressed are on environmental protection, economic growth and social justice.

The gap in literature identified here relates to the neglect local actions play at contributing to sustainable development. It was also found that despite the numerous researches done on the definition and the principles of sustainable development, there was, however, not much on how to translate the theory into practical measures. It is in this area of paucity of research that this study has made a contribution to knowledge, through the substantive theory developed using the results of the analysis in Chapter Five. In developing the substantive theory, the study has achieved one of its stated aims, namely to contribute to the debate in sustainability and sustainable development by highlighting the impact of local actors at contributing to the global quest for sustainability. The study focuses on how a local authority has attempted to achieve sustainability through working in partnership to develop a holistic and an integrated Community Strategy, which addressed the social, economic and environmental well-being of its locality. The substantive theory and the findings from the study highlighted a number of issues pertinent to achieving sustainability at the local level of government. The study's findings revealed that at the substantive level – Havering, sustainability is addressed from the perspective of the 1987 *Brundtland Report* on sustainable development. It also emerged from the study's findings that a number of factors are crucial to achieving global sustainability at the substantive level. These issues relate to the importance of creating strong partnerships between key stakeholders at the local level, capacity building of underrepresented and vulnerable groups to be able to participate in decision making, policy integration, multi-agency working and co-operation, and application of resources in achieving sustainability at the substantive level.

Although findings from this study are based on the Brundtland approach to sustainability as previously stated, and also suggest and confirm the relevance of globalisation theory in

sustainable development; they also confirm that three other theories might be relevant. Those found relevant that further research on sustainability could be based include the following listed below, but not in any particular order:

Moral Order View: this is an alternative view which “ascribes a sustainable future based on collective action and local communities as the autonomous subjects within a self-reliant pattern of social organisation” (Spink, 1995). Findings from this study suggest the presence of strong local partnership of various social and community organisations in Havering, who were instrumental in determining the policy ideas and commitments that permeated the *Havering Community Strategy*. Could this approach be relevant and accommodate the requirements of globalisation theory?

Another theory found relevant in this study is the ‘Human Development Theory.’ The latter is very similar to the Brundtland approach to sustainability, as previously described. Wikipedia (2006) described this as a theory “that merges older ideas from ecological economics, sustainable development, welfare economics, and feminist economics. It seeks to avoid the overt normative politics of most so-called “green economics” by justifying its theses strictly in ecology, economics and sound social science, and by working within a context of globalisation.”

Last but by no means least, is ‘Localisation Theory’ which Hines (2000) describes as a process which reverses the trend of globalisation by discriminating in favour of the local. Depending on the context, the ‘local’ is predominantly defined as part of the nation state, although it can on occasions be the nation state itself or even occasionally regional grouping of nations states. The policies bringing about localisation are ones which

increase control of the economy by communities and nation states. The result should be an increase in community cohesion, a reduction in poverty and inequality and an improvement in livelihoods, social infrastructure and environmental protection, and hence an increase in all-important sense of security.

One of the study objectives promised in Chapter One involved providing the linkage between the grand theory, meso theory and the substantive theory developed. This has now been achieved (see Chapters Four and Five), thereby contributing and providing an insight into the sustainability debate and processes at the global, regional (EU), national (UK) and local (Havering) levels of government. A further objective promised in Chapter One involved the use of London Borough of Havering as a case study. This was in order to examine the case study's community strategy, called '*Havering Community Strategy*' to demonstrate how sustainability is applied in a real life situation, in a local government context. This objective has also been achieved, as evidenced in Chapter Five on analysis. Equally in Chapter One (page 3), it was indicated the study will explore the mechanism used for integrating sustainable development principles into the *HCS* development process. Furthermore, the key issues that underpinned the *HCS* and how they were developed will be investigated. Following from latter, it was also stated that an attempt will be made to examine whether the indicators used in the *HCS* were able to contribute to the global sustainable development debate. These have now been achieved through answering the research questions in Sections 5.12.

Finally, the use of action research methodology was highlighted as one of the objectives in Chapter One to conduct the study and to achieve the study's stated aim identified overleaf. This objective, it is believed has been achieved; and in the process the study

demonstrates how action research methodology is applied in a real life situation, using a participatory inquiry world-view, thus contributing to methodological knowledge. This study also demonstrates how action research allows for the use of both quantitative and qualitative methods for both data collection and analysis. This, therefore, constitutes an advance to knowledge in the area of research methods, particularly in action research. As well as the contribution to knowledge claimed above, the study also has implications for practice, which is addressed as contribution to practice below.

6.3 Contribution to Practice

The practical contribution being claimed in this study relates to the development of a model for sustainable development policy and community strategy formation. This was achieved in Section 5.11 (pages 264 to 273) in which an idealised model in support of the substantive theory was developed to encourage sustainability in policy development in the local government (in the UK). This section of the study further provides some suggestions for practical application of the findings of this study to enhance knowledge in the area of plan development for sustainability. The following areas are thought to be crucial in achieving sustainable development through community planning in Havering:

Information provision and training

The results of this study suggest that knowledge of sustainability beyond the environmental definition of the theory may be lacking among senior policy makers in the Council. Although, the majority of those surveyed claimed to have an understanding of the theory, it is however, difficult to establish the veracity of their claims. It is possible that the officers interviewed were claiming knowledge of the theory because they wanted

to be seen to be knowledgeable. It may be necessary to audit the knowledge-base of key officers in the Council responsible for policy development for the awareness of what sustainability and sustainable development are. The latter effort could assist the management in devising or organizing appropriate training for the officers concerned.

There was also evidence to suggest that other public, private and voluntary groups involved in the preparation of *Havering Community Strategy* lacked the necessary knowledge of the theory of sustainability and sustainable development. In light of this, it is incumbent on the Havering Strategic Partnership to ensure that a period of training is embarked upon in which key stakeholders in the borough and officers within the Council are adequately trained on how to implement sustainability and sustainable development. This study would prove useful in this endeavour.

There is at present a number of key staff within the Environment strategy section of the Council who could take on the role of training and information sharing in the areas mentioned above and their application in a local context. This could be part of the engagement in developing the *Local Agenda 21* (albeit with limited focus), which has similar requirements to the statutory community strategy. The Department of the Environment and the Local Government (DELG) in 1995 issued a guidance note on developing *Local Agenda 21*. This guidance has relevance to community strategy development as well. The guidance suggested the following approach as a way of spreading sustainable development education in the community. These have been modified to be relevant in developing a community strategy in Havering:

supporting sustainable development education

This may relate to all educational levels in Havering, including adult education, and could include encouraging local business/industry to do likewise. The support given could be financial, or could take other forms, such as supplying groups with materials or premises, or sending personnel to talk to students;

liaising with local schools/colleges

The London Borough of Havering could take the lead in consulting with educational institutions in the borough on providing appropriate lectures or courses on the environment and sustainable development for the community;

supporting the initiatives of local voluntary groups

Local groups can be well placed to identify the particular needs of their communities (as identified in this study), in which the Council can help by providing additional information, display facilities or other support for their activities;

compiling and publishing local environmental information

In addition to compiling sustainability information, the Council can pursue many options to make it widely available – for example, by using its public library facilities, citizens' information centres, community groups, local radio stations (especially community radio), or by publishing it in the Council's annual reports, Council's website, local or community newspapers and magazines, such as 'Living in Havering' publication;

holding open days

The Council could hold open days at designated sustainability facilities, for example, water or waste water treatment plants, to show the public how sustainability issues are dealt with in this context;

drawing up information policy statements

These information statements would constitute a user-friendly guide to the type of sustainability information held by the Council and to arrangements for dealing with requests for this information (DELG, 1995).

Resources

Resources in both human and financial terms were identified as limiting the progress towards achieving sustainable development as part of the findings of this study. It was identified that there was no specific budget set aside for the process of developing the *Haverling Community Strategy*. There were no contributions financially or in kind from other partners, namely other public sector bodies, private sector partners and voluntary and community groups in Haverling. The Regeneration and Strategic Planning Unit were responsible for meeting the cost of all the work involved in the process, out of their existing budget.

A way forward could be, realigning the partnership arrangement with other stakeholders to take into consideration the need to pull resources for joint projects. Organisations not contributing money to the partnership projects could contribute in kind. This would ease the pressure on the Council in trying to fund all partnership undertakings in the borough, when clearly the funds are nonexistent. The repercussion of using funds allocated for

other projects on partnership work is the erosion of quality in the areas of work funding was taken. This problem could be alleviated by sourcing funding from external sources. There exists a department with the Council responsible for making funding applications to external sources on behalf of other Council departments, community and voluntary groups in Havering. This department could be made use of by the Havering Strategic Partnership and perhaps incorporated into the partnership. Funding secured through these sources could also be used to procure qualified staff in sustainable development. The partnership could also use funds allocated by the central government to local authorities, for meeting targets set for them by the central government as part of the performance indicators which ensures that services are being delivered locally in England and Wales. This money could be used to procure more training and staff to engage in capacity building, training, consultation, etc.

Communication

Communication was identified by key stakeholders and residents in Havering as one of the main ingredients lacking in the preparation of the *Havering Community Strategy*. It was their belief that results of key partnership events and how services are delivered are not been communicated to them. One other concern raised by participants as part of the consultation process in developing the strategy document was the use of language. They found language employed to communicate messages to the community in Havering too 'jargony' and technical.

One of the solutions would require that a corporate communication strategy is developed, which attempts to highlight the different communication channels that may be useful in reaching a vast number of residents in Havering. This would also identify the various

groups (namely, the various ethnic groups and interest groups) and how best to communicate with them. In these days of information technology, the internet, and other means should be effectively used to reach as many people as possible. The impact the latter has had in spreading globalisation across the world was demonstrated in the literature review.

There is also the need to use plain language in communicating the theory of sustainable development to residents. Whilst the emphasis is on achieving global sustainable development through local efforts, the message at the local level should be on meeting community needs which will subsequently contribute to achieving global sustainability.

Wider community participation

It was noted at the consultation events carried out to develop the *Haverling Community Strategy* that the youth and the ethnic minority groups were under-represented. This problem was also noted by other participants at these events. In order to achieve a meaningful sustainable development, all members of the community must play an active role in the decision making process; hence, it is essential that the capacity of individuals and local organisations are developed in order to become involved. To achieve this, it may be necessary to target specific groups who suffer disadvantages (e.g. the unemployed, women, lone parents, young people, the less mobile and those with a disability and the ethnic minorities), through the provision of adequate information, consultation exercises, training and language programmes for those whose first language is not English. Improvement to physical access may also be necessary, for instance, in the case of lone parents, the provision of childcare facilities will greatly enhance their ability to fully participate in decision making, by giving them more opportunity to venture

outside their homes. This approach will undoubtedly lift barriers for all members of the community. This lesson will be of particular relevance in an urban area such as Havering with a growing population of various ethnic groups.

There is a need for Area Committees to be formed in each of the wards in Havering, whereby residents could air their views. These committees should be run by local residents, with input from the ward Councillors. However, these Committees should not be mainly talking shops, but forums for taking genuine actions on local matters in an otherwise bureaucratic and very large local government area. It is a way of further devolving power to the local people in order to have influence in policy decisions.

Policy integration

The findings in Chapter Five revealed the lack of adequate policy integration in the development of the *Havering Community Strategy*. The 2002 – 2007 version of *HCS* document contained predominantly existing Council's other plans and strategies. Community strategies are meant to be a partnership document in which all stakeholders have a contribution and ownership. The stakeholders in this instance include other public sector bodies, private sector organisations, community and voluntary groups and residents of the borough. The Council is a part of this partnership, but by virtue of its resources and leadership role, the government ascribed to them the leading role of pulling together all other partners in their area.

The 2007 *Havering Community Strategy* however, did not fully reflect the plans and strategies of other organisations, namely the Primary Care Trust, the Fire Brigade and the voluntary sector groups. Meanwhile, when it did, policy commitments were merely lifted

and copied from these plans and strategies for inclusion in the *Havering Community Strategy*. The solution would lie in having a review of the process of issues identification, in which true partnership will emerge that develops the commitments and key actions that underpin a community strategy for Havering.

A new community strategy for Havering would need to be developed on the principle that it would only have targets that have at least 70 percent partnership involvement in their development. This requires a process where all partners are equal in the development of the strategy document, and resources are pooled as opposed to the present system where Council staffs dominate the process of policy development. One of the best ways to do this is the creation of community strategy champion groups drawn from various public, private and community and voluntary groups to lead on each of the themes (reflecting their expertise) identified for the community strategy. Through this process, targets developed would exclude mainstream ones already being delivered by the Council or other partners.

Lucas et al (2003) noted that one of the impediments to policy integration across local authorities is related to how they are highly departmentalised. They wrote that

“the highly departmentalised nature of many local authorities does not lend itself to crosscutting policy agendas or integrated policy delivery. New management structures that are able to address local concerns in the round are usually more successful in this respect. Special cross-cutting units can also help to encourage cross-departmental working, providing they are given sufficient status and power within their authority.

Policy delivery can be significantly enhanced by involving other local delivery agencies and communities in local partnerships. Partners need to be allowed equal status with the local authority on any management boards and committees. Power needs to be properly shared and devolved for partnerships to really work. Practical

policy implementation is more likely to be successful over the longer term where community ownership of projects is built in from the outset" (Ibid: 64-65).

Monitoring and reviewing progress

When policies contained in the community strategy have been adopted by the partnership, their success can only be measured when they are periodically monitored and reviewed by the partnership. In order to do this, arrangements should be made to monitor and report on progress towards its objectives in regard to the achievement of long-term sustainable development. The community strategy and the policies contained within it should be subject to periodic review to ensure that they continue to meet the aspirations and needs of the community. Review arrangements should consider objectives and targets set for Havering as a whole, as well as overall performance, direct and indirect actions impacting on progress, and indicators of progress, towards sustainability. It will also be important to ensure that public information services, including statutory registers, are kept up to date so as to maximise public access and participation in the review process (DELG, 1995).

6.4 Limitations of the Study and Suggestions for Further Research

Section 3.8 (page 142) had previously outlined some limitations of the research. This section further discusses other limitations identified in the study. Firstly, it is acknowledged that the survey questionnaire used to assess the level of knowledge of sustainable development and sustainability by the HSP members preparing the *HCS* could have been supplemented by a further semi-structured interview. This was because, the majority of the officers who participated in the survey exercise indicated that they had knowledge of sustainable development, when there was no way of ascertaining the veracity of their claim. A follow-on interview on this key point (probing further the

officers claimed knowledge of sustainable development) could have confirmed or disconfirmed their claim. Equally, a semi-structured interview on its own (with a larger number of participants), using a more comprehensive set of questions which sought views from the key officers developing the *HCS* on their knowledge of sustainable development would have sufficed instead of the use of questionnaire survey. On the other hand, however, the use of questionnaire survey afforded methodological triangulation.

Sustainability and sustainable development as addressed in this study were presented in the context of the developed world and not the developing nations; although, an attempt was made to address briefly the impact of globalisation and sustainability in the developing countries. However, the framework developed for the evaluation of sustainable development policy development was based on a model appropriate for a local government in a developed country. Sustainable development as a theory was addressed using Brundtland approach – a cultural relative view.

This study did not address the cost of implementing sustainable development either at the local level of policy development or nationally. Instead, it focused on the role of local actions at implementing sustainable development and in the process a model for developing local sustainability was developed. Although this is not strictly a limitation, but it would have added to the findings that sustainable development is a goal worth pursuing at all levels of activity. One other potential limitation of the study is the identification of sustainability and sustainable development as theories, based on the explanation and justification given in Sections 1.4 (pages 13 - 15) and 4.2 (pages 148 - 150) respectively. Although, this is not strictly a limitation, it is, however, acknowledged

that there is a divergent of opinion as to whether sustainability and sustainable development are theories; as some in the literature view the two subjects as concepts.

Acknowledging the limitations addressed overleaf should not in any way detract from the significance of the study's findings; particularly when efforts have been made to minimise these limitations as described in Section 3.8 (pages 142 – 145). Instead, the limitations could provide a platform for future research, as overviewed below.

Whatever its methodological orientation, further research would be advised to further the significance of local approach to sustainability in contributing to the global quest for sustainable development. A variety of research designs could potentially contribute to advance research progress in the area as reviewed below.

Adopting a similar methodology as in this study, the validity of my findings for other settings could be investigated. These could include other urban areas with greater proportion of diverse groups, such as ethnic minority groups, younger age groups, older population (over 60s) and single parent households. A replication of this study within a rural setting or in a developing country with different needs and challenges could confirm or challenge findings, support the robustness of the methodology or make constructive suggestions to advance it.

An assertion was made in Section 1.2 that many still see the pursuit of sustainable solution as a hold back to economic development and prosperity. Particularly, the increasing involvement of the private sector in the local authorities' regeneration agenda through partnership work in economic development is complicating matters. This is

because the private sector is more interested in securing immediate profit, as opposed to being interested in engaging in the longer-term goal of realising global sustainability (Robert et al, 2000). This is perhaps borne out of the perception that the quest for sustainable development in regeneration may incur additional costs, in terms of personnel and financial resources, hence the reluctance to engage in any meaningful sustainable development practice. In light of this assertion future research may want to look at the cost of developing sustainable development policy and implementation in the local setting, as this was not addressed in this study. A neoclassical approach to sustainable development using reductionist methodology would probably accomplish this task

All the three conceptual approaches to sustainability reviewed in Chapter Four seem to exhibit the globalisation tendencies described overleaf. These conceptual approaches are themselves theories relevant in sustainable development, in which this study could also be based. For ease of reference, the three conceptual approaches were the neoclassical view of the sustainability theory; environmental (also known as ecological) view, and the Brundtland approach. The former (neoclassical view) is very akin to globalisation. It is in effect a global industrialisation view, according to Spink (1995). It “represents the most common and pervasive attitude to sustainability, based on a future vision attributing the market and technology as centrepieces of social change.” Chandler (1972) contends that the neoclassical view includes rational objective assumptions about sustaining global industrialisation within a mainstream of economic reductionism and an economic cost-benefit analysis approach.

The second conceptual approach identified was the strong sustainability, also sometimes referred to as ecological sustainability. The latter takes an approach which accepts that

non-ecospheric natural capital (minerals) can be depleted but the ecosphere must be protected absolutely – ‘there’s no substitute to the planet’ – a planet over people approach (Scottish Executive, 2006: 23).

The third conceptual approach which represent an intermediate view of the two previously mentioned above is the Brundtland approach to sustainability. The latter emerged post 1987 *Brundtland Report*, and Spink (1995), conceives this as a middle ground or ‘a compromise’ between the two previous positions. It emphasised the need to consider the cultural and political aspects of sustainability. Critics such as Dresner, (2002); Purvis and Granger (2004); and Bigg (2004) contend that it rests on the assumptions of western rationality. They posit that it is merely a political compromise between the global environment management and protectionism aims of the North and the human health development needs of the South. Scottish Executive (2006), argues that despite their frustrations with the “woolly thinking of sustainable development, many western academics, policy-makers and practitioners have been prepared to work within the framework of its overarching guiding principles because they approve of their moral and practical intentions.”

The findings in this study confirm the latter assertion by the Scottish Executive (2006). It was found that the use of Brundtland approach to sustainability, that is, the cultural relative approach, according to Spink (1995) permeated the development of the *Haverling Community Strategy*. The Brundtland approach emphasised the need to strike a balance between the environment, society and the economy in the quest for sustainable development. The models and framework designed for this study to evaluate the *Haverling Community Strategy* for sustainability had been based on the requirements of the

Brundtland Report. The philosophical and methodological underpinning and assumptions which formed the basis for its use were however not based on what Dresner, (2002); Purvis and Granger (2004); and Bigg (2004) termed western rationality of positivism or interpretivism. Instead, it was based on a new form of paradigm called participatory inquiry paradigm discussed in Chapter Three of this study. Future research on similar issues and subject area as presented in this study, which employs western rationality as a base would be interesting to establish whether similar findings and conclusions could be reached.

In conclusion, this study has shown that a unique contribution both to an answer of the research questions and an exploration of action research methodology can be made. Blueprints of further research designs have been drawn and I hope that the implications from this study will inform future research in sustainable development.

APPENDIX A: Multi-criteria Analysis of the Published Havering Community Strategies: 2002 – 2007

In Chapter Five, Sections 5.2 – 5.10.8 of this study, the substantive theory was developed following the analysis carried out. In Chapter Six, Section 6.3 a theoretical process of developing a plan to implement sustainable development at the local level of government was developed. The validity of this theoretical process was promised would be established through undertaking a multi-criteria analysis of the *Havering Community Strategy*; this section fulfils the promise. The result of this exercise is presented as a report to the Havering Strategic Partnership, as part of my action research study. In the latter report the multi-criteria analysis described in the study is treated as an evaluation report of the *Havering Community Strategy* for the incorporation of sustainability.

HAVERING STRATEGIC PARTNERSHIP

**REPORT OF THE EVALUATION OF THE
PUBLISHED HAVERING COMMUNITY STRATEGY
(2002 – 2007) FOR
SUSTAINABILITY**

PREPARED BY

TONI OLA

JULY 2009

1. INTRODUCTION

1.1 Overview

This report seeks to brief the Havering Strategic Partnership members and senior management in Havering, the result of the evaluation of the Havering Community Strategy for the incorporation of sustainable development aims and objectives. This exercise was carried out as part of the PhD research degree I have been involved in since 2000.

1.2 Background to the report

In year 2000, I approached Nigel Young, Regeneration Manager, Regeneration and Strategic Planning and Roger McFarland, Head of Regeneration and Strategic Planning of my intention to complete a doctorate degree in sustainable development. I also sought sponsorship for the study and indicated that I wanted to research the process involved in the development of the Havering Community Strategy and the policies contained within it for the incorporation of the sustainability aims and objectives. I was particularly interested in doing this for career development and as part of my role as the newly appointed Regeneration Officer (Strategy) with the responsibility for the development of the *HCS* and the co-ordination of the then Community Strategy Steering Group. In order to achieve the aims set out, I began the task by selecting an action research group, made up of the partners involved in developing the strategy document, including my line

manager. The role of each of the action research partners varied; most of them were participants through consultation, whilst others had direct input, for example, Paul Ekers, Research Officer, was involved directly at some stage in data gathering. Fatima Koumbarji, the then Head of Community Management Team, had an input, particularly in the development of the model for evaluating sustainable development plan. Through reflection on her comments, the model developed was refined in 2006. However, in later year, 2007, the new HSP Policy Co-ordinator, Shazia Ullah made further suggestions and comments, based on her current work on the revised *HCS*.

As I have now reached the end of this project, and as part of the agreement at the outset that the result of the exercise would be shared with the relevant parties, this report thus presents the findings of the exercise.

2. Methodology

Action research was chosen as an appropriate methodology for this study. This is because it is consistent with an intervention-based approach where the focus is action to improve a situation and the research is the conscious effort, as part of the process, to formulate public knowledge that adds to theories of action that promote sustainable development (Allen, 2001). Action research also afforded the opportunity for the participation of others in the study. In this instance, the action research group mentioned overleaf. The study which has been written as a PhD thesis is available for consultation, and has a comprehensive account of how action research was used in the study.

2.1 Evaluation framework

The framework designed for the evaluation of the Havering Community Strategy was developed in the thesis and can be found in Chapter Five, Section 5.11. A copy of the thesis is available within the Regeneration and Strategic Planning Unit for consultation. In summary of how the evaluation was undertaken. This involved testing the published Havering Community Strategy against a set of criteria developed in the study. The framework was developed to incorporate all major factors that may adversely affect the planning and development of sustainable development policy or urban regeneration projects. This sustainability impacts were grouped under environmental, social and economic impacts. A simple method was developed using symbols to represent the sustainability impacts against which the policy commitments and actions within the Havering Community Strategy were evaluated, as in Tables 13, 14 and 15 of the thesis. These policies were scored for their impact on each criterion as bellow:

- + positive
- negative
- 0 no impact

The result of the above exercise is presented below:

Table 16: Generic Sustainable Development Policy Framework

Policy Theme: A high quality environment

Policy Aim: To maintain a high quality environment in Havering

Description: Protect, maintain and improve the quality of streets and open spaces; Increase the choice of ways to travel and reduce the environmental impact of transport; Reduce the problem of waste by encouraging waste reduction, reuse and recycling; Protect and care for wildlife and improve the green environment; Encourage energy conservation by businesses, households and road users

Environment, Encourage energy conservation by businesses, households and road users					
Primary Aim of Sustainable Development Policy	Policy Impact	Policy Limits/Barriers			
		Social Limits/Barriers	Institutional/Infrastructure Limits/Barriers	Economic Limits/Barriers	Commentary
Environmental Sustainability Criteria					
Transport: Reduce private car use Public transport use Cycle and pedestrian route	+ + +	Difficulty in making people switch modes from cars to public transport, cycling and walking.	Fuels from more buses will create particulate emission	Funding subject to regional and national priorities	Investment in public transport and construction of more cycle and pedestrian routes will reduce the need to travel by car, thus reducing carbon emission.
Emissions: Noise emissions CO2 emissions Particulate emissions	- + -				
Efficiency: Energy efficiency Waste efficiency Recycling of materials Water management	+ + + 0				
Ecology: Biodiversity Habitat	+ +				
Land Use pattern: Use of derelict land Use of brownfield site Mixed-use development	+ + +				
+ Positive contribution to S.D. policy aim		- Negative contribution to S.D. policy aim		0 No contribution to S.D. policy aim	

Source: adapted from DETR (2000) and GLA 2 (2004)

Table 17: Generic Sustainable Development Policy Framework

Policy Themes: (1) A more prosperous community and; (2) Improved Lifelong Learning

Policy Aim: (1) To ensure continued economic growth of Havering; (2) To allow people to have equal access to high quality learning throughout their lives.

Description: (1) Create better opportunities for local people to get jobs in Havering and the Thames Gateway; Enable businesses to develop and do well; Support people so that they can benefit from the prosperity of Havering; Ensure local people benefit from the large-scale regeneration programme for the Heart of Thames Gateway between Rainham and Dagenham; Encourage improvements and new investment to strengthen town centres. (2) Give children the best possible start in life; Enable all children to achieve their full potential, in good schools achieving high standards; Develop the skills that are needed to get good quality jobs; Meet the needs of priority groups, such as people who are unemployed, disabled or who lack basic skills; Promote greater participation in lifelong learning by young people and adults.

Primary Aim of Sustainable Development Policy	Policy Impact	Policy Limits/Barriers			
		Social Limits/Barriers	Institutional/Infrastructure Limits/Barriers	Economic Limits/Barriers	Commentary
Economic Sustainability Criteria					
Wealth Creation: Effect on existing business New businesses created	 + +				
Job Creation: Long-term jobs created Short-term jobs created Training skills to secure jobs	 + + +			Funding subject to regional and national priorities	Job training schemes are mainly for the low end of the job market
Funding: Public sector funding Private sector funding	 + +		Lack of project management skills to manage projects.		
Improve economic efficiency: Improve economic efficiency Improve integration of policy areas Improve quality of decision making	 + 0/+ +		Different departments and organisations perceive joined-up working a threat		Many policy areas cross departmental boundaries, thus requiring joined-up working to avoid wastage & duplication.
+ Positive contribution to S.D. policy aim		- Negative contribution to S.D. policy aim		0 No contribution to S.D. policy aim	

Source: adapted from DETR (2000) and GLA 2 (2004)

Table 18: Generic Sustainable Development Policy Framework

Policy Theme: (1) Increasing community participation; (2) A safer community and; (3) Better health and welfare

Policy Aim: (1) To strengthen the capacity and skills of the community to participate in decision making; (2) To make Havering a safe place and; (3) Ensuring better health

Description: (1) Promote an inclusive community, where all people are valued and cared for, without discrimination or prejudice; Involve all sections of the community in the decisions, that affect them, and strengthen local democracy; Develop a strong community and voluntary sector, working together in partnership with Public and private sector partners; Involve the community in making public services better; Improve the range and quality of facilities and support for community activities. (2) Improve safety in priority areas; Reducing the opportunities for vehicle crime; Keep burglaries at a low level; Protect identified vulnerable groups and; Tackle youth crime. (3) Improve the availability and provision of health and social care service; Improve people's health and their quality of life; Focus resources on meeting priority health and social care needs; Increase the choice, quality and availability of housing and; Improve the range and quality of affordable leisure and cultural opportunities.

Primary Aim of Sustainable Development Policy	Policy Impact	Policy Limits/Barriers			
		Social Limits/Barriers	Institutional/Infrastructure Limits/Barriers	Economic Limits/Barriers	Commentary
Social Sustainability Criteria					
Equity: Improve equity of wealth creation Improve equity of access to facilities & services Improve intergenerational equity	+ + +	None participation of minority & disabled groups	Inadequate expertise in consultation techniques	Funding subject to regional and national priorities	Jobs created must be long term and well-paid to be sustainable
Community involvement: Local participation Local consultation	+ +				
Cultural: Cultural disruption Cultural harmony	0 -/+				
Resident accommodation: Local residents displacement	0/+				
Safety Designing out crime Tackling youth crime Reduce vehicle crime	+ + +	Difficult to make people accept different culture	New settlements will stretch scarce resources	Lack of funding to conduct meaningful consultation	Consultation fatigue can limit participation
Health improvement	+	Difficult to make people accept different culture	New settlements will stretch scarce resources		
		New housing developments may displace residents			Diverse population with varying cultural backgrounds anticipated, this may cause tension if not well managed
		Difficulty in changing behaviour of youths, particularly those with difficult childhood.	Lack of more police officers on the beat may hamper progress towards reducing crime.	Funding for police recruitment an issue	Emphasis on working with young people, the police, businesses and the community on all issues of crime.
+ Positive contribution to S.D. policy aim		- Negative contribution to S.D. policy aim		0 No contribution to S.D. policy aim	

Source: adapted from DETR (2000) and GLA 2 (2004)

3. Result of the Generic Sustainable Development Policy Framework

Environmental Sustainability Criteria

- **Policy Theme: A high quality environment**

The potential impacts of the Havering Community Strategy on the proxies of sustainable development plan are shown in Table 16 above. These proxies cut across a wide range of areas that are likely to impact on the environment, namely, transport, emissions, energy efficiency, ecology and land use pattern.

The policy supports public transport use and the creation of more cycle and pedestrian routes. It also supports CO2 emission reduction, energy efficiency, waste efficiency and recycling of materials. The policy is especially strong on ecology, in terms of biodiversity and habitat. This policy area is supported by pledges of substantial funding for biodiversity from the regional and national governments. This is perhaps because Havering houses the largest concentration of, for example, water voles (which are protected under the Wildlife and Countryside Act 1981) in the United Kingdom. These voles alongside other wild-life are concentrated in Rainham Marshes, which receives prominent attention in the strategy document. Rainham Marshes is one of the largest conservation area in the United Kingdom, based in the borough of Havering, and is protected by law, as a Site of Special Scientific Interest (SSSI).

The policy is equally strong on land use pattern. It detailed its commitment to site all major house building and other regeneration projects on derelict and brownfield sites.

Major developments are also pledged to be of mixed-use development. On balance, the relevant policy areas on the environment scored well with the sustainable development proxies developed for the study. However, the policy on water management and efficiency was not addressed. Havering has a population of nearly 250,000 inhabitants. This is a significant population that has the potential to effect the level of water wastage in the area if not properly managed.

The policy contribution to the reduction in noise and particulate emissions is nil. These areas are important proxies of sustainable development. Noise emissions are likely to be a major problem in the Borough of Havering as a result of traffic flow, on-going major physical regeneration projects, and as a result of more public transport development in the area. Buses in particular are likely to generate more particulate emissions. The Havering Community Strategy, has a strong policy on creating more bus routes. More buses in the borough are therefore part of the efforts being used to discourage the use of private cars.

The important points coming out of the analysis relate to the limits by a number of factors that can hamper the successful implementation of sustainable development policy. These are social, institutional/infrastructure and economic limits. For example, the *Havering Community Strategy* addressed all the relevant sustainability issues relating to transport, particularly on reducing the need to use private cars. It is however apparent from the analysis that, there is no policy commitment to educate and persuade people to switch their mode of transport. The difficulty involved in making people switch modes from cars to public transport, cycling or walking, therefore represents the social limit that may hinder progress towards sustainable development. There may also be economic limits relevant in this area, in that, the resources needed to entice people to change their mode of

transport may be lacking. The incentive may come in the form of subsidising the public transport to make it cheaper to use by the public.

Other noticeable limit identified through the analysis relate to funding, particularly on transport. Transport in the borough of Havering is centrally or nationally procured. This means that funding for the upgrade and development is dependent and subject to regional and national priorities. The policy document did not address what efforts would be made to secure the necessary investment from the relevant bodies. This represents economic limit that may hinder progress towards sustainable development.

Economic Sustainability Criteria

- **Policy Theme: A more prosperous community**
- **Improved Lifelong Learning**

Table 17 above represents the potential impact of the *Havering Community Strategy* on the proxies of sustainable development plan. These proxies cut across a wide range of areas that are likely to impact on the economy, namely, wealth creation, job creation, funding and improved economic efficiency.

The results of the analysis in Table 17 above show that the *Havering Community Strategy* document performed well against the proxies of sustainable development used. The strategy document recognised the importance of sustaining business growth in the borough. This is in the context of Havering being an important member of the Thames Gateway. The latter has been designated an important hub for economic growth in the

South East of England, by both the national government and the Mayor for London. As a result, it is receiving a great deal of attention and funding from these sources. It is against these backdrops that the strategy document has made pledges to develop Havering into London's key investment opportunities. The strategy document therefore pledges support for existing businesses and also new businesses that will be encouraged to form or relocate. A wide range of business support activities are identified and some are currently running to cater for or address the policy commitments in this area.

The implication therefore is that more jobs will be created as a result of business growth in the area. The strategy document recognises the need to create long term jobs. Towards this end it is proposing a wide range of policy initiatives to address this. There is no doubt that many low skilled and short-term jobs are equally going to be created, this has implications for the sustainability issues.

The contribution to the sustainable development proxy in the area of integration of policy is poor. Although, the strategy document attempts to integrate policy in different areas of services provided by the various partners involved in delivering services to the people of Havering, it was only done partially.

The ability of the *Havering Community Strategy* to contribute to the sustainable development principle is hampered by a number of limits or barriers, as identified in the analysis. Foremost in the list of limits identified, is the lack of adequately trained personnel to deliver on the various commitments and actions proposed. There are no policy commitments on enhancing and developing the human resources needed to achieve the aims and objectives of the strategy. Of equal importance is the need to emphasise the

joined-up working arrangement, which will help achieve the delivery of the commitments of the policies. This is because many of the policy areas cut across departmental boundaries. In other words, two or more departments and organisations have responsibilities for delivering the same service/s. The strategy does not adequately reflect this, which is crucial to achieving sustainable development in a multi-agency environment.

Funding required to deliver on most of the policy areas identified would need to be sourced from agencies outside of the influence and control of the partnership developing the Community Strategy for Havering. The funding sources are regional and national organisations, whose priorities may be different from that of the partnership above. Finally, the job training opportunities mentioned in the policy document are designed to cater for the low end of the job market, particularly, the Jobnet Scheme and the New Horizons for Harold Hill Scheme. There are no commitments or policy actions on more advanced career or job training opportunities for other groups, with the exception of the Centre of Excellence and Manufacturing Engineering (CEME). This institution will cater for engineering and manufacturing training up to degree level. It is, however, recognised that most of the intakes to the institution will be non residents of Havering.

Social Sustainability Criteria

- **Increasing community participation**
- **A safer community**
- **Better health and welfare**

The potential impact of the *Havering Community Strategy* on the proxies of sustainable development plan as they relate to social sustainability criteria are shown in Table 18 above. These proxies also cut across a wide range of areas that are likely to impact on the social sustainability of the area, namely, equity, community involvement, cultural, resident accommodation, safety and health improvement.

The *Havering Community Strategy* scored positively against almost all the proxies of social sustainability. It is particularly strong on improving equity of wealth creation amongst its residents. This was demonstrated through a range of measures proposed to ensure equity in wealth creation. Various policy commitments were made in relation to equity of access to facilities and services in Havering.

Community involvement, through encouragement in local participation of all stakeholders in decision making permeated the entire strategy document. Consultation was also key in the strategy document. The latter is, however, a requirement by the government and it is enshrined in the *Local Government Act 2000*. The development of the *Havering Community Strategy* itself, is a reflection of the commitment to the principle of community involvement in policy development, as demonstrated in the focus group workshops and the residents questionnaire survey.

Community safety was given prominence in the policy document, through a dedicated theme, and a range of policy commitments and actions. These commitments address the need to make Havering a safe place to live and work. It also emphasises the need to tackle youth crime through a wide range of initiatives. Crime reduction was also anticipated to be achieved through quality design of new buildings, street and estates upgrades.

As well as the commitments to tackling crime in the borough, health improvement was also given prominence in the strategy document. It equally has a dedicated theme which proposes a wide range of policy commitments and actions to ensure health equality in the borough. Amongst a range of commitments and actions proposed are the construction of a brand new hospital, increasing the number of General Practitioners (GPs) and nurses, and developing more community-based services across all client groups. Of particular interest noted in the analysis, is the overlap in the policy commitments under health and other areas, namely housing. The strategy recognises the importance of decent and well designed accommodation in maintaining improved health and social well-being. This cuts across other theme areas such as environmental sustainability.

As in other sustainability criteria previously addressed, there are a range of limits that may act as barriers to achieving these sustainability commitments. Starting with the social limits; although the commitments under the social sustainability criteria emphasise the need to consult and include minority groups in decision making, there is less evidence of this in the strategy document.

The strategy recognises the government requirement to achieve more housing construction in the Thames Gateway. As part of this drive, the London Riverside, which

Havering is a constituent member has been identified as possessing sizeable acres of derelict and brownfield sites to accommodate new housing units in the Thames Gateway. The Havering Community Strategy acknowledged this position and therefore proposed a range of commitments and actions to accommodate this development. There are social and infrastructure limits which could disrupt the achievement of these commitments. For, example, this would increase the population of Havering. The consequence of this is that existing infrastructures in Havering (i.e. healthcare facilities, schools, water, etc.), will be further stretched to meet the needs of the incoming population. The anticipated population is from the eastern boroughs of London (Hackney and Newham). A greater percentage of these are from the ethnic minority population. This has the potential to create tension in Havering, as the current population is 96 percent white. The social barrier here relates to the fact that it is very difficult to make people accept different cultures. The strategy document did not address these issues and therefore did not propose any policy commitments or actions to address the potential fall-out from these developments.

The new housing units proposed, will displace some of the existing residents, as some demolitions are anticipated. This has the potential to further create more tension and resentment in the borough. On the social barrier relating to crime prevention, the strategy document did not address the difficulty in changing the behaviour of youths in the area, particularly those with difficult background/childhood.

Other institutional and infrastructure barriers identified that may hinder progress towards achieving sustainable development in Havering, relate to the inadequate human resources to conduct more widespread consultation that will include and encourage minority groups in decision making in Havering. The policy commitment in this area is nil. The lack of

more police officers on the beat may also hamper efforts designed to prevent crime in the borough. There are no policy commitments in this area, perhaps due to the fact that police recruitment is regionally procured, and the borough has no influence on this.

The economic barriers identified relate to funding; implementing most of the policy commitments and key actions proposed requires funding from regional and national governments. The various sources of funding therefore are subject to competition from other boroughs. The amount of funding available is also subject to the priority of the regional and national governments. As identified previously on the inadequate human resources to engage all sections of the community; this is subject to inadequate funding. Police recruitment is also subject to funding.

4. Conclusion

This report it is hoped will be read in conjunction with the aforementioned thesis for completeness. This is because the thesis which constitutes an eight-year action research work is very comprehensive and addresses issues related to sustainable development at the local, national and global levels. It also developed supporting models which management in Havering and the Havering Strategic Partnership at large will find useful in developing plans for the incorporation of sustainability. It also addresses the issues related to engaging in action research work in local level of government.

As the HSP is currently in the process of developing its *Sustainable Community Strategy* for 2008-2012, this report and the aforementioned thesis have been completed in time to

assist in this effort. Finally, this study could not have been completed without the support of management within the Strategic Planning Unit, who have provided the funding, time and materials to assist in its completion.

APPENDIX B: Detailed Review of Paradigms of Enquiry

1. Positivist Paradigm

The intellectual root of the positivist paradigm can be traced back to the period of European thought in the 16th and 17th centuries, when the predominance of theology in explaining phenomena in European history was gradually eroding, according to Hughes (1990). It was around mid 19th century onward that positivism evolved from the religious and metaphysical stage of these epochs, towards a scientific period of thinking, in keeping with the ideas of progress that typified the period. Comte, the French philosopher (1798-1857), was credited for coining the word positivism as a world view representing the scientific era. He was also credited for suggesting that the newly emerging social science must proceed in the same way as natural science by adopting the latter's method of observation and experimentation, instead of reliance on theology for explanation of phenomena. This then became the dominant research paradigm in the nineteenth and the first half of the twentieth centuries (Holloway, 1997 and Hughes, 1990).

The term positivism also goes by other names, depending on the researcher's choice. It is sometimes referred to as empiricism, behaviourism, naturalism or science. For the purposes of this study, the term positivism will be employed. Positivism is therefore an approach to science based on the natural science model in which a belief in universal laws and law-like generalities can be found. One of the fundamental rules in positivistic studies or research is the pursuit of objectivity and neutrality to ensure that distance is preserved and personal biases avoided (Holloway, 1997).

Positivism paradigm is based on a number of principles, including: a belief that reality is stable and can be observed and described objectively, without interfering with the phenomenon being investigated (O'Brien, 1998). In positivism, phenomena are subject to natural laws that humans discover in a logical manner through empirical testing, using inductive and deductive hypotheses derived from a body of scientific theory. Its methods rely heavily on quantitative measures, with relationships among variables commonly shown by mathematical means. Positivism, used in scientific and applied research, has been considered by many to be the antithesis of the principles of action research (Susman and Evered 1978, Winter 1989).

This is echoed by Mjoset (1999), who describes positivism notion of theory as post-war ideal of deductive-nomological notion of theory, which originated from early 20th century. This position generalises the procedures of experimental science. In this paradigm, hypotheses which are potential universal laws are generated.

Mjoset (1999) explains this further by saying that given the laws, it is possible to specify a set of initial conditions under which a predicted result should follow. In an experiment, these conditions are established. If the result confirms the prediction, the hypotheses (laws) are strengthened. The experiment shows that the law represents general knowledge on how the initial conditions cause an outcome. This is also called the covering law model of explanation: The law is the black box which transforms causes into effects. Theory is a set of such laws. Theory is compact knowledge: Many regularities can be subsumed under the same general law, making research systematic and cumulative. Such a notion of theory provides a clearcut criterium of demarcation: testing of law-based

deductions. Explanations which do not satisfy this criterium are ad hoc explanations and must be avoided.

Barker and Pistrang (2005), call this a scientific approach that emphasises systematic observation and experimentation, and the formulation of general theories or laws of nature. Reason and Goodwin (1999) on the other hand call the approach a reductionist science, which attempts to divide and conquer. They argue that it divides the world into constituent systems whose parts are simple enough to allow prediction of their behaviour, and hence to exert control over their activity. It is their contention that scientific approach to conducting research has worked remarkably well in many physical systems and even, to some extent, in biology. The approach, according to them exemplifies the principle that can be described metaphorically as linear thinking, which regards a whole as no more than the sum of its parts. Manipulation of the parts then results in control over the whole (ibid, 1999).

Bryman (2004) explains this further by indicating that positivism is based on principles and assumptions which suggest that only knowledge gained and confirmed by the senses can genuinely be classified as knowledge. This he termed the principle of phenomenalism; furthermore, theory is used to generate hypothesis which can be tested to allow explanations of laws to be assessed (the principle of deductivism). Through the gathering of facts that provide the basis for laws, knowledge is arrived at (the principle of inductivism). Most importantly, science must be conducted in a way that is value free and objective (Ibid, 2001). The latter is echoed by Greenwood and Levin (2000) when they suggest that positivism employs the language of objectivity, distance, and control because of the believe that these are the key to the conduct of real social science.

Based on the above description and analysis of positivism, the paradigm can be summarised as follows, using Benton and Craib (2001) characterisation:

- Genuine knowledge can be tested by experience
- Claims of knowledge must be observable
- Scientific laws are statements of recurring patterns of experience
- A scientific explanation is an instance of a scientific law
- We can predict outcomes based on extrapolation
- Science is objective and separates the testable factual statement from value judgements.

In recent times however, positivist ideas of science have been modified and reformulated, albeit in a limited way by post-positivists. The latter hold the belief that there cannot be complete objectivity or truth. They argued that reality or truth existed, but could only be understood imperfectly or probabilistically. Post-positivists believe that “findings are probably true if all procedures to establish validity have been followed. It is therefore important that researchers view the findings critically and not as absolute and once-and-for-all. Post-positivists also accept that research cannot be completely value-free” (Holloway, 1997: 123). Nonetheless, post-positivists still hold similar beliefs as positivist.

There is however, a growing frustration with positivism as the dominant research paradigm. This is premised on the believe that it can no longer address the challenges of the constantly changing modern world, as it is too mechanistic and have therefore been under attack philosophically, ethically and spiritually. In it place has emerged other paradigms of inquiry such as constructivism, critical theory, post-modernism,

interpretivism and participatory inquiry paradigm. However, for the purposes of this study, only two of these other paradigms, namely interpretivism and participatory inquiry paradigm are addressed, starting with interpretivism below.

2. Interpretive Paradigm

Interpretivism emerged over the last half century in the social sciences to break out of the constraints imposed by positivism. It developed as a critique of positivism in the social sciences at the turn of 20th century when social scientists began to question whether or not there was justification in their use of scientific method of the physical sciences to study social and human issues (Smith and Heshusius, 1986). German historian, Wilhelm Dilthey (1833-1911) was credited as the first to seriously challenge positivism using his interpretive/hermeneutical approach to science. He challenged the central tenets of positivism, advocating an alternative methodology for social sciences. He contends that whereas the physical sciences dealt with inanimate objects that often exist independently of human beings, the social sciences focused on the processes and products of the human mind (Smith, 1983; Onwuegbuzie, 2002).

However, the intellectual and philosophical root of interpretivism started in 17th century, and the first prominent advocate of this paradigm was Giovanni Batista Vico, according to Hughes (1990). Giovanni saw human history as a process reflecting the maturation of the human mind in its understanding of God's nature. Vico stressed that the study of man and society in history was very different from the study of inanimate nature in the sense that the former involved subjective understanding (Ibid, 1990).

More recently, interpretivism has been linked to the thought of Max Weber, who suggests that in the human sciences we are concerned with understanding. This has been widely taken to mean that he is 'contrasting the interpretative approach (Verstehen, understanding) needed in the human and social sciences with the explicative approach (Erklaren, explaining), focused on causality, that is found in the natural sciences' (Crotty, 1998: 67).

Interpretivists believe that human experience (the subjective) is as important as in positivists emphasis on explanation, prediction and control (Holloway, 1997). Interpretivists believe that only through the subjective interpretation of an intervention in reality can that reality be fully understood. Studying phenomenon in their natural setting is the cornerstone of this paradigm of inquiry. They equally acknowledge that scientists cannot avoid affecting those phenomena they study; and that there may be many interpretations of reality, but that the interpretations are in themselves a part of the scientific knowledge they are pursuing (Barker and Pistrang, 2005).

This is in contradiction to positivism., which follows the "methods of the natural sciences and, by way of allegedly value-free, detached observation, seek to identify universal features of humanhood, society and history that offer explanation and hence control and predictability. The interpretivist approach, to the contrary, looks for culturally derived and historically situated interpretations of the social life-world" (Crotty, 1998:67).

Lynch (2005) explains this further by saying that interpretivist paradigm does not separate facts from values, as the inherent subjectivity in any research conducted in relation to people, to the social world, is accepted. This is because knowledge is seen as something

that is socially constructed, rather than the discovery of an independently existing reality, the notion of causality is defined differently. To interpretivist, causal relationships are just another possible construction or explanation for certain aspects of the social world that we are researching. They cannot and should not be taken to be universal laws that govern people and their actions, including the acquisition and use of language. Rather than following the notion of causality as one variable preceding and causing another, interpretivism sees relationships as more complex and fluid, with directions of influence being mutual and shifting rather than unidirectional and fixed. Relationships within the social world, such as language, are not seen to be external and independent of our attempts to understand them. Rather than seeking a 'true' match between our research observations and reality, the interpretivist paradigm understands reality as being constructed in and through our observations and pursuit of knowledge (Ibid, 2005).

The following summarise interpretivist paradigm in terms of its, ontological, epistemological and methodological assumptions. In ontological terms, interpretivist assumes that reality as we know it is constructed inter-subjectively through meanings and understandings developed socially and experientially. Epistemologically, it assumes that we cannot separate ourselves from what we know. The investigator and the object of investigation are linked such that who we are and how we understand the world is a central part of how we understand ourselves, others and the world. Methodologically on the other hand, interpretive approaches rely heavily on naturalistic methods of interviewing, observation and analysis of existing texts. Although interpretivism emphasise the subjective, it nonetheless still retains the ideals of researcher objectivity, and researcher as passive collector and expert interpreter of data, unlike in participatory inquiry paradigm discussed below.

3. Participatory Inquiry Paradigm

The previous paradigms discussed above have been articulated in great detail by various authors, particularly Guba and Lincoln (1985), based on their ontological, epistemological and methodological assumptions. Guba and Lincoln (2000 and 2005) have however, further the debate on these paradigms of inquiry to include participatory worldview.

There is now a growing frustration with the two previously described established paradigms of positivism and interpretivism. This stems from the believe that the two paradigms, particularly, positivism can no longer address the challenges of the constantly changing modern world. They have thus been described as too mechanistic and have therefore been under attack philosophically, ethically and spiritually.

As Skrbina (2001) put it, the mechanistic worldview is under attack from many fronts, even from within itself, "from the scientific and technological perspective. Our intellectual and social lives have become vastly more complicated than in past generations. Social and environmental problems are rapidly mounting, and depression and apathy seem increasingly prevalent. Unfortunately, the Mechanistic Worldview -- the source of our values, the justification for our actions, the framework upon which all our ideas are laid out -- seems less and less able to cope, and less able to provide satisfactory resolution. The time has come to deeply re-examine our present worldview, and, to the greatest degree possible, to creatively transcend it" (ibid: 1).

This increasing frustration and challenge to the established mechanistic worldviews has seen the emergence of an alternative paradigm of enquiry, in participatory inquiry

paradigm. Reason, (1998), Reason (2002), Reason (2005), Seeley and Reason (2008), and Heron and Reason (1997), also described this as participatory worldview. The latter two authors are regarded as the staunchest proponents of this alternative worldview.

This latest paradigm rests on the belief that reality is an interaction between the given cosmos, a primordial reality, and the mind (Hills, 2000). Within the participatory worldview, the mind participates with [the cosmos] and can only know it in terms of its constructs, whether affective, imaginal, conceptual or practical (Heron, 1996). "Mind and the given cosmos are engaged in a creative dance, so that what emerges as reality is the fruit of an interaction of the given cosmos and the way the mind engages with it" (Heron & Reason, 1997: 279).

Participatory inquiry paradigm advocates a philosophy in which the researcher and those being researched are treated interdependently and responsive to one another in the research process. Torbert et al (2001) opined that a participatory ontology treats the role of subjective experience in research as essential, and looks to the research process as a means of addressing the split that exists between knowledge, experience, and action. This is echoed by Sherman (2000), in Torbert et al (2001) when she wrote that in a true social science, the subjective (first-person), inter-subjective (second-person), and the objective (third-person) are all integrated in an inquiry.

Reason and Bradbury (2001) describe this paradigm a systematic, holistic, relational, feminine, experiential and participatory. They contend that our world does not consist of separate things but of co-authored relationships. We participate in our world, so that the

'reality' we experience is a co-creation that involves the primal givenness of the cosmos and human feeling and construing.

Skrbina (2001), provides a thorough and a simple description of this new paradigm, when he contrasted participatory worldview with the established paradigms previously discussed. He contends that whilst the mechanistic worldview emphasizes reductionism, the participatory worldview emphasizes holism. Where the mechanistic worldview adopts a dualistic, subject-object approach to reality through quantitative analysis, the participatory worldview adopts an interactive, cooperative approach through qualitative analysis. Furthermore, where the Mechanistic Worldview is ethically neutral and detached, the participatory worldview incorporates a strong axiological component. Whilst the mechanistic worldview relies on scientific method to investigate the world, the participatory worldview uses new methodologies of participation and action research. Finally, the mechanistic worldview sees a universe of dead inert matter; in contrast, the participatory worldview sees a universe active, animated, and co-creative.

The following summarise participatory worldview in terms of its, ontological, epistemological and methodological assumptions. In ontological terms, the participatory paradigm emphasises holism and unity of the natural and social world. Whilst recognising that the outer world is objectively given, it is however subjectively represented. Epistemologically, the participatory worldview believes that there are four ways of knowing, namely: experiential knowing, presentational knowing, propositional knowing and practical knowing. In methodological terms, the participatory worldview believes that through collaboration, research findings and definitions of reality are co-created – the

primacy of practice and experience is emphasised (Breu & Peppard, 2003, and Reason, 1998).

Although, Reason and Heron (1997) have constructed a paradigm of inquiry in participatory worldview which they consider as a direct challenge to Guba and Lincoln's (1985) competing paradigms, previously discussed. Reason (2002) nonetheless sees participatory worldview as a middle way between positivism and interpretivism, neither of which has satisfactory bases for practical partnership research. Guba and Lincoln (2000) however contend that participatory paradigm is post-positivist, postmodern, and criticalist in orientation.

APPENDIX C: Semi Structured Interview Questions

- (1) Were you involved in the development of the Havering Community Strategy?
- (2) How did the decision to start the development of the Community strategy start in Havering, and in what capacity were you involved?
- (3) Who decided the issues addressed in the Havering Community Strategy and how was this done?
- (4) Were the principles of sustainable development applied in the preparation of the Havering Community Strategy?
- (5) What appropriate framework or mechanism was used to integrate sustainable development principles into the preparation of the Havering Community Strategy and the policies contained within it? By this question I'm referring to whether the following steps were followed in the development of the strategy document; and if so, in what order and how:
 - 5a the scope of the plan/strategy has to be set to embrace all of the sustainable development agenda before issues are identified. **Was this the case in Havering and if so how was this accomplished?**
 - 5b the partners need to be identified before the issues are defined and the objectives set. **Was this the case, and who were/are the partners in Havering?**
 - 5c the needs of all the main parties have to be identified before the objectives are decided. **Was this the case, and if so, how was this done?**
 - 5d sufficient organisational capacity has to be present to build community capacity before the community is engaged in the awareness-raising and attitude-changing aspects of the project. **Did the partnership possess the expertise to do the latter?**

- 5e the plan must link other plans and strategies, It should act as an overarching framework for other service - or theme-specific plans and, together with other key strategic plans. **Was this done, if so, which plans were linked?**
- 5f targets and a definition of success have to be established before implementation. **If this was done, how was it done?**
- 5g A monitoring and review mechanism must be developed to monitor and review progress of the plan, ensuring that the activities identified in the action plan are carried out and assessing their success in addressing the priorities identified. **Was this done, if so, how was it done?**
- (6) Was a special budget dedicated to the process, and if so, how much and who were the contributors?
- (7) Finally, are the messages of sustainable development and sustainable regeneration being communicated to Councillors, council staff and developers? If so, how?

APPENDIX D: Results and Raw Data from Survey Questionnaires

Of the 14 senior officers involved in preparing the HSP, 11 professed knowledge of sustainable development, whilst only three claimed partial knowledge. None of the officers claimed ignorance of the theory of sustainable development.

However, there is an even split, (that is 7 on each side), who are either aware or unaware of whether London Borough of Havering signed up to the UK local government declaration on sustainable development. On the other hand a great majority of these offices (that is 78 percent) are aware that the Council has an appointed officer responsible for sustainable development. Out of the 14 officers who returned the survey questionnaire, 13 claimed that their department had received information from the *Local Agenda 21* Officer of what sustainable development is. And all respondents are also aware that the London Borough of Havering has produced a *Local Agenda 21* document

As well as the knowledge of the existence of the *Local Agenda 21* in the Council, 93 percent of the officers were involved in one shape or form in the preparation of the LA 21 document for Havering. The survey on the officers knowledge of the existence of the Havering Community Strategy also revealed that all of them are aware of its existence, and all those surveyed had involvement in its preparation, except for one officer, who responded no. However, the level of each officer's involvement in the preparation of the *HCS* varies, with the majority claiming very strong involvement, except three officers who were never involved.

On the question of whether the principles of sustainable development permeated the development of the HSP, five officers claimed yes, whilst 8 officers declared that the principles of sustainable development was only partially adopted in preparing the *HCS*. Majority of the officers that is 10 out of 14 blamed lack of support from management for the partial level of sustainable development incorporated into the *HCS* preparation. Two officers blamed this on budgetary constraint. Of the different 35 strategy documents and plans published within the London Borough of Havering, sustainable development principles have played a role in their development, according to all the officers who returned the survey questionnaire

Table 19. Survey Results Of Key Officers Involved in Preparing Havering
Community Strategy

Knowledge of Sustainable Development Principle

	Yes	Partially	No	Total
Q1 Do you have an understanding of what sustainable development is?	11	3	0	100.0%
Q2 If your answer to question 1 above is no, would you want to know what sustainable development is all about?	0	0	0	0%
Q3 If you are aware of what sustainable development is, do you know if London Borough of Havering has signed up to the UK local government declaration on sustainable development?	5	2	7	100.0%
Q4 If you answered yes to question 3 above, do you know whether the Council has an officer responsible for sustainable development or local agenda 21?	10	0	1	78.6%
Q5 Has the Local Agenda 21 Officer or the Council been able to communicate to your department and other departments what sustainable development or local Agenda 21 is?	10	2	1	93%
Q6 Has the Council produced a Local Agenda 21 document?	13	0	1	100.0%
Q7 If your answer is yes to question 6 is/was your department involved in its preparation?	4	7	2	93%
Q8 Please rate your department's involvement and commitment to supporting the Local Agenda 21 process	Strong support 6	Partial support 7	No support 1	Total 100.0%
	Lack of support from management	Budgetary constraint	Lack of information or awareness of Sustainable Development	Other, please state Total
Q9 If your answer to question 8 above is 'no support' please explain why?	0	1	0	7.14%

Havering Community Strategy/Other Plans And Sustainable Development						
Q1	Are you aware of the existence of Havering Community Strategy?	Yes	No	Not Sure	Total	
		13	0	0	93%	
Q2	Are you or were you involved in the preparation of the Havering Community Strategy	Yes	No	Not Sure	Total	
		12	1	0	93%	
Q3	If your answer is yes to question 2 above, what is/was your level of involvement and in what capacity	Strongly involved	Partially involved	Ad hoc involve ment	Total	
		7	2	3	86%	
Q4	To your knowledge, was the principle of sustainable development adopted in the preparation of the Havering Community Strategy?	Yes strongly	Yes partially	Never	Total	
		5	8	0	93%	
Q5	If your answer to question 4 above is 'never', please state why?	Lack of support of support from management	Budgetary Constraint	Lack of information or awareness of sustainable development principle	Other	Total
		10	2	1	93%	
Q6	Please list all the plans and strategies being developed or have been developed in your department					
	Minor role	Significant role	Major role			
	Cultural Strategy; Sports Strategy; Art Strategy; Physical Activity Strategy; Parks Development Plan; Education Strategy; Unitary Development Plan; Interim & Supplementary Planning Guidance; Local Implementation Plan; Borough Spending Plan; Harold Hill Area Action Plan; Consultation Strategy; Media Strategy; Social Enterprise Strategy; External Funding Strategy; Asset Management Plan	Climate Change Strategy; Green Travel Plan; Local Agenda 21; Sustainable Construction Strategy; Right Of Way Improvement Plan; Heritage Strategy; Housing Strategy; Homeless Strategy; BME Strategy; East London Housing Strategy; Key Worker Strategy; HRA Business Strategy	Romford Town Centre Development Framework; Upminster Town Centre Environmental Improvements; Volunteer And Community Compact Strategy; Area Action Plans; Community Legal Services Strategy; Community Development Strategy; Voluntary Sector Strategy; Sustainable Funding Strategy For Voluntary Organisations			

Q7	What role has sustainable development principle played in developing these plans and strategies?	None	Minor role	Significant role	Major role	Total
		0	8	2 Lack of information or awareness of sustainable development principle	3	93%
Q8	If your answer to question 7 above is 'none', please state why?	Lack of support of support from management	Budgetary Constraint		Other	Total

APPENDIX E:

SOCIAL WELLBEING THEME: CODING PROCEDURE

Coding category	Section of text/raw data coded	Data Source
Participation.	<p>Everyone at the consultation workshop thinks that community participation is important – that's the reason why they came!</p> <p>Most people think that Havering's Community Area Forums (CAFs) are a useful opportunity for participation, but the way they operate needs to be reviewed.</p> <p>Encouraging a culture of participation from an early age – getting young people involved.</p> <p>Programmes to raise community awareness, encourage participation, and demonstrate how people can help increase community safety.</p> <p>More should be done to increase participation and to help people who lose out at present – such as children with special needs, ethnic minorities, disabled people, offenders, boys under-performing compared to girls. Education should be made more accessible with less reliance on normal institutional premises</p> <p>The management claimed that issues permeating the community strategy had earlier been decided based on previous consultations with all stakeholders. This was before my time as the co-ordinator of the strategy development.</p> <p>The consultation workshop started around 6pm. The location of the event was Duke's Hall, Hornchurch, Essex.</p>	<p>Report from the focus group workshop of Nov. 2000</p> <p>Observation Journal - Focus Group Workshop Time: 6.00pm-9.00pm</p>

<p>Involvement/ Consultation/ Inclusion/</p>	<p>Also to involve regional organisations such as GLA, Thames Gateway at that stage.</p> <p>The HSP will strive to increase the diversity of people actively involved in and contributing to the development of sustainable communities.</p> <p>Promote an inclusive community and develop the infrastructure for black and minority ethnic and other minority involvement; Increase community involvement and boost civic pride; Develop a strong and independent community and voluntary sector; and Develop solutions to barriers to voluntary sector development, including capacity and premises limitations.</p> <p>The Council is seen as getting better at partnership working and involving people, but there is still plenty of room for improvement. It needs to show that it is really interested in people's views, listens to them, and then acts accordingly.</p> <p>Involving young people more in projects would give them a greater feeling of being part of the community.</p> <p>Those providing the services need to listen to people more and get a better understanding of their needs, through user groups and community involvement. Forward planning to meet changing needs is important.</p> <p>In 1998, the partnership held a consultation event in which all partners and residents were invited to decide on and prioritise the six key themes of the community strategy. Following from this, it held another consultation workshop with similar groups in November 2000 to develop the key action areas and commitments that underpin the six themes.</p>	<p>Minutes of HCSSG 16th October 2000</p> <p>Published Havering Community Strategy 2005</p> <p>Report from the focus group workshop of Nov. 2000</p> <p>Interview with the Policy Co-ordinator HSP</p>
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	<p>More attention should be paid to helping those on really low incomes, including better benefits take-up, targeted training programmes, and supported employment.</p> <p>The group expressed concern at the low turn out at the meetings, and as a result, it was agreed to revise and update the list of participating partners, so as to exclude as well as find replacements for those members who have left.</p> <p>Roger stated the importance of community participation in the development of Havering Community Plan. It was agreed that community events on each of the six themes would be arranged.</p> <p>The summary/residents version of the Community Strategy has been sent to approximately 90,000 residents in Havering seeking their views and comments. Approximately 200 responses have already been received and analysis is currently taking place.</p> <p>The detailed A4 Community Strategy will be sent (Now sent 9th August 2001) to a range of public, private and community/voluntary sectors towards the end of July/early August. It is estimated that approximately 500 strategies will be sent out seeking views and opinions.</p> <p>Based on the chosen preference, the CAF and the Chamber of Commerce would be consulted. Fatima explained that the consultation exercise would need to be very comprehensive to involve everyone, including users.</p> <p>The HSP will strive to increase the diversity of people actively involved in and contributing to the development of sustainable communities.</p> <p>Also to involve regional organisations such as GLA, Thames Gateway at that stage.</p>	<p>Minutes of HCSSG 17th May 2000</p> <p>Minutes of HCSSG 17th July 2000</p> <p>Published Havering Community Strategy 2005</p> <p>Minutes of HCSSG 16th October 2000</p>
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Democracy Influence	And participation means more than just consultation: it means letting the community decide, or at least influence decisions	Report from the focus group workshop of Nov. 2000
Domination	Big meetings can get taken over by a few individuals, so that others don't have time to air their views A wide range of different organisations were present, but it appeared that the age range of participants were middle-aged, middle class, white male and female. There was no visible presence of any ethnic minorities, except myself. Issues for discussions on the day were predetermined by the Havering Community Strategy Steering Group.	Report from the focus group workshop of Nov. 2000 Observation Journal - Focus Group Workshop Time: 6.00pm-9.00pm
Equity	All areas of the borough should be given equal treatment. Jobs and incomes are certainly important, but so are the education and training needed to open up employment and other opportunities, the quality of the environment and community provision, and the extent to which the whole community can share in this prosperity	Report from the focus group workshop of Nov. 2000
Capacity building	Financial support for voluntary organisations to encourage more people to join in. Practical help to make it easier for people to participate (with transport, parking, expenses). We need to provide young people with better role models than they have in the media or football, for example. Most people think that the biggest problem is the lack of suitable facilities for young people, for meeting places and other activities, and that more should be spent on them.	Report from the focus group workshop of Nov. 2000

<p>Education/ Lifelong learning/ Training</p>	<p>Reduce the incidence of accidental and non accidental fire Address and tackle violent crime, hate crime, anti-social behaviour and domestic violence Promote better understanding between races and religions Manage the night time economy Reduce domestic burglaries and vehicle crime Address people's fear of crime.</p> <p>Understanding employers' skill needs and offering relevant training are key to changing employers' perceptions of local people's skills. Training and qualification courses can be developed with business sponsorship. Childcare, nursery schools, after school clubs are important to enable parents to work.</p> <p>Making Havering a better place to live and work will ensure its future prosperity. This includes better education.</p> <p>The discussion groups on this theme clearly think that lifelong learning will be crucial to Havering's future. They do want to see high quality education provided, but they are also concerned about education in the broadest sense - the whole process by which people gain the knowledge and skills that enable them to participate in a civilised, democratic society as responsible citizens.</p> <p>Lifelong learning needs to be better co-ordinated by the agencies coming together – schools, colleges, youth service, and so on – perhaps into a single learning partnership</p> <p>Give children the best possible start in life and ensure their on-going health and safety – every child matters in Havering Help all children and young people to enjoy their education and achieve their full potential Encourage all children and young people to develop the skills, expertise and values to contribute positively to</p>	<p>Report from the focus group workshop of Nov. 2000</p> <p>Published Havering Community Strategy 2005</p>
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<p>Apathy/ Representation Diversity</p>	<p>A wide range of different organisations were present, but it appeared that the age range of participants were middle-aged, middle class, white male and female. There was no visible presence of any ethnic minorities, except myself.</p> <p>On first impression, only half of those invited attended the meeting.</p> <p>Of the nine participants present, 4 represents the Council</p> <p>The racial make up of the group is balanced in terms of gender, but not in terms of race – I was the only ethnic minority in the steering group.</p> <p>My first involvement in the development of the Havering Community Strategy (<i>HCS</i>), and my first attendance at the steering group meeting developing the <i>HCS</i>. Attendance at the meeting was very low. The meeting was not representative of the Borough of Havering, as many stakeholders, such as the private sector, the police and other public sector bodies were not present. There are not many ethnic minorities in senior positions in the council. I would appear that this is also the case in other sectors. Also, Havering population is made up of only 4% ethnic minorities.</p> <p>Alice interjected by saying that less information is available on the voluntary sector; and that there is no representation from the voluntary sector at their interview</p> <p>In drawing up the strategy the HSP recognises, values and embraces the diversity of cultures within Havering, and the communities that make up the borough. The HSP is committed to ensuring that services and activities benefit all communities, particularly those who are disadvantaged and hard to reach.</p>	<p>Observation Journal Focus Group Workshop Time: 6pm-9.00pm</p> <p>Observation Journal HCPF, 10am-12pm</p>
<p>Health/ Welfare</p>	<p>All the groups discussing this theme are looking for positive ways to improve the health and welfare of people in Havering. This includes providing recreational opportunities, good</p>	<p>Minutes of HCSSG 24th July 2000</p> <p>Published Havering Community Strategy 2005</p> <p>Report from the focus group workshop of</p>

Housing	<p>quality housing, reducing poverty and inequality, lessening pollution, and education on how to stay healthy.</p> <p>Making Havering a better place to live and work will ensure its future prosperity. This includes better education; parks and green spaces; community centres; youth clubs; libraries; theatres and cultural life; a range of housing from executive to affordable social housing; health and leisure facilities; a good transport system catering for different journey types.</p> <p>We will:</p> <ul style="list-style-type: none"> Tackle health inequalities Tackle the demands of an ageing population and improve the quality of life for older people by tailoring care so they can live healthily and safely at home whenever possible Develop services to address rising levels of obesity Address increasing demands for mental health and alcohol services Improve partnership working to develop coordinated services for children and young people at risk. 	<p>Nov. 2000</p> <p>Report to HSP and the Council Cabinet dated Nov. 2001</p> <p>Published Havering Community Strategy 2005</p>
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LIST OF ABBREVIATIONS

APU	Anglia Polytechnic University
CMT	Community Management Team
CSD	Commission on Sustainable Development
CSSG	Community Strategy Steering Group
DELG	Department of the Environment and Local Government
DETR	Department of the Environment, Transport and the Regions
DoE	Department of the Environment
EU	European Union
GATT	General Agreement on Tariffs and Trade
GHG	Green House Gases
GLA	Greater London Authority
GoL	Government Office for London
HCPF	Havering Community Planning Forum
HCS	Havering Community Strategy
HCSP	Havering Community Safety Partnership
HCSSG	Havering Community Strategy Steering Group
HMSO	Her Majesty's Stationery Office
HSP	Havering Strategic Partnership
IIED	International Institute for Environment and Development
IMF	International Monetary Fund
INGO	International non-governmental organisations
IUCN	International Union for Conservation of Nature and Natural Resources
LAA	Local Area Agreement

LBH	London Borough of Havering
LDA	London Development Agency
LDF	Local Development Framework
LGA	Local Government Association
LSP	Local Strategic Partnership
MCA	Multi-criteria Analysis
NHS	National Health Service
ODPM	Office of the Deputy Prime Minister
OECD	Organisation for Economic Cooperation and Development
PDPA	Personal Development and Performance Appraisal
PSA	Public Service Agreement
SDC	Sustainable Development Commission
TGLP	Thames Gateway London Partnership
UDP	Unitary Development Plan
UEL	University of East London
UK	United Kingdom
UN	United Nations
UNCED	United Nations Conference on Environment and Development
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNECLAC	United Nations Economic Commission for Latin America
UNEP	United Nations Environment Programme
US	United States
WCED	World Commission on Environment and Development
WTO	World Trade Organisation

WWF **World Wide Fund for Nature**

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