



**Assessing the challenges faced by emerging farmers in KwaZulu-Natal (KZN) province**

**Siphamandla Khuzwayo**

**217045028**

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**Supervisor: Dr Xoliswa Majola**

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**Supervisor’s Permission to submit Thesis/ Dissertation for Examination**

Name: Siphamandla Khuzwayo		Student no: 217045028	
Title: Assessing the challenges faced by emerging farmers in Kwazulu-Natal (KZN) Province			
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## ABSTRACT

The South African New Growth Path of 2010, as well as the National Growth Plan of 2012, indicate that since the dawn of democracy, the government has recognised the essence of agriculture, especially smallholder farming, in its contribution towards poverty alleviation, employment creation and rural development. In the context of the above, this study investigated the reasons behind the failure of most emerging farmers, also known as smallholder farmers in the KwaZulu-Natal (KZN) Province of South Africa. In order to achieve this, the qualitative research approach was applied, in order to establish the emerging farmers', as well as some officials' opinions, views and perspectives regarding smallholder farming. A total of six smallholder farmers were purposively selected from the KZN farmers' database, while four officials were purposively selected from organisations like the Department of Agriculture, Ithala Development Finance Corporation, eThekweni Municipality, to allow them to provide their insights into the challenges associated with smallholder farming. In-depth interviews were used to seek information from the smallholder farmers, as well as the officials who participated in study. The findings of the study indicated that among other things, smallholder farmers sustain their livelihoods through agricultural activities, some of them are aware of sustainable farming and practice it, while others know nothing about it, they face challenges which include lack of access to formal markets, lack of finance, lack of agricultural inputs like tractors and essentially, lack of access to information on sustainable farming. The farmers also indicated that the extension officers assigned to them are not effective as they do not offer them the kind of knowledge necessary for them to improve their agricultural practices. As part of recommendations, it was suggested that government support is imperative, if the sustainable development goals of food security, rural development, poverty reduction and unemployment reduction, are to be achieved.

**Key words:** smallholder farming; challenges; KwaZulu-Natal

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## **ABBREVIATIONS**

ANC	African National Congress
BAL	Basic Agrarian Law
CASP	Comprehensive Agricultural Support Program
CRDP	Comprehensive Rural Development Programme
DAFF	Department of Agriculture and Forestry
DFID	Department for International Development
DLA	Department of Land Affairs
DRDLR	Department of Rural Development and Land Reform
FAO	Food and Agriculture Organization
GDP	Gross Domestic Product
IFAD	International Fund for Agricultural Development
IGDP	Integrated Growth and Development Plan
ISRDS	Integrated Sustainable Rural Development Strategy
KZN	KwaZulu-Natal
LRAD	Land Redistribution for Agricultural Development
MDA	Ministry of Agrarian Development
MAPA	Ministry of Agriculture, Livestock and Procurement
OECD	Organization for Economic Co-operation and Development
PLAAS	Institute for Poverty, Land and Agrarian Studies
PLAS	Pro-active Land Acquisition Strategy
PRONAF	Programme for the Strengthening of Family Farming
RASET	Radical Agrarian Social Economic Transformation
RDP	Reconstruction Development Programme
SAGARPA	Secretariat of Agriculture, Livestock, Rural Development, Fisheries and Food
SL	Sustainable Livelihoods
SLAG	Settlement/Land Acquisition Grant
SPSAA	Strategic Plan for South African Agriculture
StatsSA	Statistics South Africa
TAREP	Technical Assistance and Rural Extension Programme

UNDP United Nations Development Programme  
USAID United States Agency for International Development  
WFP World Food Programme

## **CHAPTER 1: OVERVIEW OF THE STUDY**

### **1.1 Introduction and background to the study**

The policies of South Africa, for instance, the South African New Growth Path of 2010, as well as the National Growth Plan of 2012 indicate that since the dawn of democracy, the government has recognised the essence of agriculture, especially smallholder farming, in its contribution towards poverty alleviation, employment creation and rural development. These policies have identified agriculture as an essential sector for rural development (Department of Agriculture, Forestry and Fisheries, 2012). In the same way, emerging farmers (also referred to as smallholder farmers in this study) have proven to be important stakeholders in the economies of many African countries. Besides being the main source of rural livelihoods, smallholder production ensures household, as well as national food security, thereby contributing to the GDP (Landesa, 2014; DAFF, 2012; Altieri, Funes-Monzote & Petersen, 2012). It is undeniable that smallholder farmers can be critical agents of rural development. Worldwide, there are more than 500 million smallholder farmers and about 80% of food is produced by smallholder farmers (Fan et al., 2013; FAO, 2011). In this view, Nwanze (2011) argues that emerging farmers should be regarded as entrepreneurs, hence, the land reform programmes ought to ensure that opportunities are created for the emerging farmers. It is important to note that the number of agricultural households in South Africa is decreasing: the 2011 census indicated that 2.9 million agricultural households, while the 2016 community survey reported 2.3 million (StatsSA, 2013). Among other things, drought conditions have been from 2013 to 2016, thereby contributing to the decrease in agricultural activities. In this view, “The major contributing provinces to the decrease are KwaZulu-Natal (-6.3% points or 180 781 agricultural households), Eastern Cape (-3.5% points or 101 531) and Limpopo (-2.8% points or 81 834)” (StatsSA, 2013: 15).

According to Stats SA (2013), South Africa’s gross domestic product (GDP) grew by 2.5% in the second quarter of 2017 and 1.1% y/y. The largest positive contributor to growth in GDP in the second quarter included agriculture, forestry and fishing industry, which increased by 33.6% and contributed 0.7 of a percentage points to GDP growth. According to Stats SA (2013) agricultural households report, almost two thirds of agricultural households are in KZN (24, 4%), and EC (20, 7%) and LP (16, 3%) combined. Non-agriculture households in Kwazulu-Natal stand at 71.8% and those that are agricultural are at 28.2%. The KZN government through its social partner, metros and other municipalities, the Department of

Education, Department of Health and others, embarked on the smart implementation of good government programs like Radical Agrarian Social Economic Transformation (RASET), envisaged to bring better life and freedom. Thus, food and nutrition security, even in rural areas, could be achieved. Unfortunately, the statistics highlighted earlier in this section are a major concern, considering the fact that smallholder farming is a source of food security, employment, income and contribute immensely towards poverty reduction (WWF, 2015). In the context of the information presented above, this study seeks to investigate the reasons behind the failure of most emerging farmers, also known as smallholder farmers in this study. It is the researcher's belief that the main causes of the emerging farmers' failure are not adequately identified, which then causes problems in terms of policy intervention for development programmes.

## **1.2 Problem statement and rationale**

The South African government subscribed to the 2003 Maputo Declaration on Agriculture and to food security in the continent (Moeng, 2010). In an effort towards achieving this, the country's Department of Agriculture and Forestry (DAFF) launched the smallholder development program aimed at increasing food production and trade (Moeng, 2010). The agricultural sector is thus highly focused on integrating most of the subsistence farmers into the large-scale commercial farming. In this view, some financial institutions are investing in this regard, through providing finance to emerging farmers. The researcher is in the development finance corporation, where his main responsibility is to facilitate the financing of emerging farmers and other entrepreneurs. Specifically, the researcher is responsible for assessing the viability of application for funding and then compiling submissions for credit approval. In the process, it has come to the researcher's observation that most of these emerging farmers fail within twelve months of operation, allegedly due to the lack of the necessary support from the financial institution. Chikazunga and Paradza, (2012) highlighted poor support systems from all stakeholders as the results of emerging farmers failures to operate profitable and take advantages available opportunities provided by South African government. In an endeavour to find the underlying cause of the problems, the researcher gathered that most of the agricultural projects fail due to the volatile market conditions, which include drought. It was also noticed that most of the emerging farmers are inexperienced and therefore do not really understand the cycles for crop planting and animal production (Celliers & Khapayi, 2016). In the main, the real issue is that these farmers are not afforded the support, monitoring and evaluation necessary to ensure their success (. In the

context of the above, this study thus seeks to investigate the main reasons behind the failure of the emerging farmers, in an effort to provide sound recommendations in this regard. The aim is therefore to present an understanding of the main challenges linked to the failure of smallholder or emerging farmers, particularly in the KwaZulu-Natal Province. In this view, the study has the following objectives.

### **1.3 Research questions**

- What is the socio-economic status of the emerging farmers in KZN?
- What are the reasons behind the failure of emerging farmers in KZN?
- What can be done to improve the emerging farmers' participation in the agricultural sector in KZN?

### **1.4 Objectives of the study**

The main objectives of the study include the following:

- To establish the socio-economic status of the emerging farmers in KZN
- To critically assess the reasons behind the failure of emerging farmers in KZN
- To suggest ways of improving the emerging farmers' participation in the agricultural sector in KZN

### **1.5 Significance of the study**

The study aims to establish the main reasons why emerging farmers are failing in the agricultural sector. Having knowledge of this would benefit many relevant stakeholders like the Department of Agriculture and for the farmers themselves. The findings of the study could be an eye-opener as to the challenges associated with smallholder farming and the recommendation might help them improve in optimising their land use, profitability and productivity. For the financing institutions, the findings of the study could surely provide insights regarding the financing of emerging farmers. As indicated earlier, it seems some of the problems emanate from the fact that the financing institutions, once they have financed the farmers, do not follow up on their progress and or provide the necessary support in this regard. Thus, the findings of this study could reveal to the financing institutions that they should not just end on financing but monitoring and evaluation are quite imperative in this endeavour. The government and policy makers could also benefit in terms of which policy intervention measures are most applicable in the context of smallholder farmers (Altieri,

Funes-Monzote & Petersen, 2012). If all these stakeholders respond positively to the findings of this study, this would assist in ensuring food security, employment and poverty reduction is achieved.

### **1.6 South Africa's agrarian legislative framework**

Following the fall of the apartheid government and the installation of the new government in 1994, a lot of legislative pieces were revisited in an effort to promote agriculture in the country. The ruling ANC government had a mammoth task of redressing the inequalities of the past, which included the land issue as well. Such notable policies which were introduced included the Marketing Act of 1996, which was aimed at assisting smallholder farmers to penetrate the agricultural market (Thamaga-Chitja & Morojele, 2014). In addition, the Strategic Plan for South African Agriculture (SPSAA) was promulgated in 2001, targeted at bridging the gap of agricultural dualism in the country. The purpose of the SPSAA was to help smallholder farmers to rise to the status of commercial farmers (Aliber & Hall, 2012). In order to support this, as well as the meaningful participation of the Black majority in the agricultural arena, the Comprehensive Agricultural Support Program (CASP) was launched to distribute the required funds to households practising agriculture in the rural areas. This was aimed at supporting them to fund their agricultural activities. The National Department of Agriculture (NDA, 2007a) indicated that about 70% of the CASP funds directly assisted the beneficiaries of the land reform programme, while the remaining 30% went towards other agrarian beneficiaries who had already accessed land. In order to ensure an alignment and smooth coordination of such support services, the Strategic Plan for Smallholder Support was also put in place.

Despite those efforts though, the shortage of land remained a critical factor in the success of smallholder farming, an effect of the Native Laws Amendment Act of 1937 (Chivanga & Kang'ethe, 2015). The Native Land Act, as well as the Land Act of 1936 transformed the Black South African farmers from successful farmers into mere wage labourers (Twala & Selesho, 2013). At this time, 87% of the land was in the hands of the few White minority, while the displaced Black communities got overcrowded in the reserves where environmental degradation became the norm (Labadarios et al., 2011). When the ANC government assumed power in 1994, the land reform programme was instituted with three main components which are land restitution, land tenure reform, as well as land redistribution (Agholor & Obi, 2013), with the aim of undoing the unequal distribution of land that took place during the apartheid era. The land restitution was aimed at giving back land to those victims who lost it under the

Native Land Act of 1913, which was then replaced by the Restitution of Land Right Act of 1994 (Antwi & Oladele, 2013; Agholor & Obi, 2013).

### **1.7 South African Agrarian perspective**

In the first phase of the land reform programme (1994-2000), the period of the Reconstruction Development Programme (RDP), the Settlement/Land Acquisition Grant Scheme (SLAG) was initiated by the South African government which injected a grant of R16 000 to poor rural families to allow them to purchase land. The problem with this arrangement was that the families had to buy the land in groups, which yielded poor results due to differences amongst the groups (Antwi & Oladele, 2013). From 2000 to 2008, the period of the Integrated Sustainable Rural Development Strategy (ISRDS), the Land Redistribution for Agricultural Development (LRAD) was introduced and was aimed at empowering the beneficiaries of land reform so that they could improve their socio-economic wellbeing through land production. The LRAD was meant to uplift commercial agriculture (Aliber & Cousins, 2013).

The third phase of the land reform programme took place from 2008-2014, the period of the aggressive Comprehensive Rural Development Programme (CRDP), where the Proactive Land Acquisition Strategy (PLAS) was launched by the government, targeting 30% land redistribution in which 24.6 million hectares out of the 82 million hectares of land which was in the hands of the white commercial farmers, was re-allocated to the landless Black people (Chivanga & Kang'ethe, 2015). The CRDP came into effect upon realising that the previous policies were not aggressive enough to yield any positive outcome in the agricultural sector (Ruhiga, 2013). Up to 2018, the land redistribution issue is still a topical issue in South Africa, where the victims are calling for land redistribution without compensation, while others are in disagreement with such moves. In the main, the land reform is taking place in form of the willing buyer- willing seller approach, which seems to be an ineffective model because of being market oriented and now those owning the land are charging exorbitantly in order to deter the government from buying (Chivanga & Kang'ethe, 2015). Notably, the agrarian reform is seemingly threatening national food security, the same situation that occurred to Zimbabwe when the less skilled and poorly resourced Black people grabbed the land from the White farmers (Ruhiga, 2013). As such, there is fear that if not properly handled, the land reform programme of South Africa might follow that of its Zimbabwean counterpart hence, it is perhaps essential to treat it cautiously without putting national food

security at risk (Chivanga & Kang'ethe, 2015). Indeed, there exists a strong relationship between land ownership and sustainable agricultural activities.

Albeit, many smallholder farmers in South Africa have not enjoyed the fruits of the land reform programme, since being neglected during the time when Bantustan Agricultural Development Co-operation was dismantled in the 1990s. This left a void in terms of production and marketing for the estimated 200 000 smallholder commercially-oriented farmers, as well as the 2.5 million households which practiced agriculture for household consumption (Twala & Selesho, 2013; Ruhiga, 2013). In this view, the legislative pieces discussed above also point to the need to suggest possible policy measures which could sustain smallholder farmers' agricultural practices. In the main, there is definitely a need for policy change which elevates smallholders' sustainable agriculture to the same level with mainstream agriculture. The point is that the notion of one-size-fits-all does not apply in this context, meaning that there is need to comprehend the individual needs of the farmers, based on the environmental, as well as the resource needs or conditions of the farmers.

### **1.8 Outline of the study**

Chapter 1 provides an overview of the study. In the chapter, the main issues around the study will be described and these include the background information to the study, the problem statement and rationale, objectives and research questions, as well as the significance of the study. Chapter 2 reviews the literature relevant for the study. In addition, the theoretical framework underpinning the study is also described and this is the sustainable livelihoods framework. Chapter 3 is a description of the methodology undertaken to answer the research questions. The research design, research paradigm, research approaches are described alongside the target population and sampling, data collection tool, issues of validity and reliability, as well as ethical considerations. Chapter 4 is the presentation and analysis of findings. Lastly, Chapter 5 concludes the study by highlighting the conclusion and recommendations, based on the findings of the study.

### **1.9 Chapter summary**

This chapter has described the intended research on the causes of the failure of emerging farmers in the KwaZulu-Natal Province. In view of this, the step by step description of the research proposal has been given. The introduction, background information and problem statement set the tone for the study by highlighting the main issues underpinning the study, the problem statement and the gaps identified, which the study aims to fill in. The objectives

of the study were also described in line with the research questions. The significance of the study was also highlighted. The chapter that follows discusses the theoretical framework underpinning the study, as well as the literature review.

## **CHAPTER 2: LITERATURE REVIEW**

### **2.1 Introduction**

This chapter discusses the literature related to the subject matter. Amongst other issues, the following issues are discussed in this chapter: the historical evolution of smallholder farming in South Africa, the different definitions of smallholder agriculture, the agrarian legislative framework in which smallholder farming takes place in South Africa, as well as the relations between smallholder farming and economic development. In addition to this, the challenges associated with smallholder farming are also discussed. The chapter also highlights some case studies from which smallholder farming is taking place, with the aim of understanding the best practice for smallholder farming from other countries. Lastly, the Sustainable Livelihoods Framework, which is the theoretical framework for the study is also described in detail.

### **2.2 The historical transition of smallholder farming in South Africa**

Farming in South Africa existed even before the White settlers arrived in the 17<sup>th</sup> century (Parkington & Hall, 2009). Farming then was mainly hunting and gathering by the San people, the Koi Koi who were pastoralists, as well as the Bantu-speaking African farmers who were mixed (Thompson, 2000). When the European settlers arrived, conflict on land acquisition took place between the indigenous African tribes of South Africa and the settlers (Pienaar, 2013; Tihanyi & Robinson, 2011). The conflict continued for centuries and this led to the launch of the Union in 1910. During this time, restrictive measures were applied by the government, under the influence of the settlers, and the aim of these policies was to isolate and suppress African farmers from participating in mainstream agriculture, but rather, to become, farm labourers who received meagre wages (Binswanger & Deininger, 1993; Vink & van Zyl, 1998; Aliber & Cousins, 2013).

Upon establishing the Union in 1910, the Natives' Land Act of 1913 was promulgated to prohibit the black people to hire or acquire land (Mbongwa et al., 2000). At the same time, the Land Act of 1913 stipulated that only 7 to 13% of land was kept solely for the Africans. These land Acts literally stripped the African farmers of their land, meaning that they were no longer at liberty in terms of household farming, were forced to confine themselves on the small reserves of communal land (Mbongwa et al., 2000). In this view, Lyne and Darroch (2003) noted that 13 out of the 40 million South Africans lived in the homelands, while 80% of the rural population was living in poverty. The discriminatory land policies disabled the

majority of the African farming sector, while at the same time supporting White commercial farmers (Vink & van Zyl, 1998; Makhura & Mokoena, 2003).

In the post-apartheid period, land policy changes took place in an effort to transform the sector into an open economy, which gave hope to many African farmers. Some of the changes which took place included the end to certain tax concessions, the deregulation of the marketing system, trade reform, the reduction of expenditure from national budget, as well as changes in the labour law, to mention a few (Groenewald & Nieuwoudt, 2003). The ruling African National Congress (ANC) noted an improvement in small-scale agricultural production, as well as an increase in the participation of small-scale emerging farmers (Makhura & Mokoena, 2003). These were the foundations of the Reconstruction and Development Programme (RDP). The new agricultural policy was aimed at unifying the economy, whereby both large and small farmers were urged to work in harmony, which in turn could also address issues of unemployment, rural poverty and food insecurity (Aliber & Hall, 2010).

From 1994, several land reform programmes were put in place, in an effort to re-distribute 30% of the land owned by the Whites, to the historically disadvantaged Black majority. The land restitution, land tenure reform and land redistribution were the major land reform tools used to make land available to the rural people, as well as to ensure tenure security and improve their small-scale production capacity (Lyne & Darroch, 2003). As part of its mandate to ensure this, the ANC declared:

*The ANC government will: Intensify the land reform programme to ensure that more land is in the hands of the rural poor and will provide them with technical skills and financial resources to productively use the land to create sustainable livelihoods and decent work in rural areas. ... [And] expand [the] agrarian reform programme, which will focus on the systematic promotion of agricultural co-operatives throughout the value chain, including agro-processing in the agricultural areas. Government will develop support measures to ensure more access to markets and finance by small farmers, including fencing and irrigation systems. (ANC, 2009, cited in Aliber & Hall, 2010: 54).*

The utterances by the ANC gave the impression that smallholder farmers would receive government support in this regard. Pienaar (2013) argued that the years 2009-2013 saw an increased support in this regard, at both provincial and national level. However, despite such

attempts, the majority of smallholder farmers still seem to be marginalised, in as far as government support is concerned, mainly because most of the transfers never reach them, while certain farmers get favoured at the expense of others (Aliber & Hall, 2010; Aliber & Hall, 2012). Perhaps what also needs to be investigated at this point is the extent to which the government has supported these emerging farmers. The fact is that many of these farmers have directly benefited little, if any, from the government. This is indicated by the challenges encountered by the farmers on a daily basis (Aliber & Hall, 2012). These challenges will be discussed in depth, in the sections that follow.

Unfortunately, the agrarian structure of the 21<sup>st</sup> century has not yielded many positive results, as the number of farmers has been declining (from 60 000 in 1996 to 35 000 in 2013) (Aliber & Cousins, 2013). In the same way, commercial farmers in South Africa occupy about 87% of the total agricultural land and the same White commercial farmers are responsible for agricultural production (over 95%) (DAFF, 2012a; Aliber & Cousins, 2013). What this implies is that the smaller and less effective farmers are being forced out of the farming business, while their White counterparts are competing globally in agricultural markets. In 2012, Greyling (2012) indicated that commercial agriculture's contribution towards the national economy had been on the decrease, with its share in the GDP being less than 3%. For the smallholder farmers, agriculture is mainly for family subsistence and the main people participating include the aged, women and children working on extremely small pieces of land (0-1.5 hectares) (Aliber & Cousins, 2013). Having traced the historical development of smallholder farming in South Africa, it is essential to also deliberate on the concept of smallholder farming itself.

### **2.3 Definitions of Smallholder Farming**

The definitions of smallholders vary between countries, as well as agro-ecological zones. In fact, it is the notion of “small” that varies in a variety of contexts (Machingura, 2007; Narayanan & Gulati, 2002; Nagayets, 2005). In the context of smallholder farming, the terms “smallholder”, “small-scale”, “subsistence”, “resource poor”, “small”, “low-income”, “low-input”, are often used interchangeably (Machingura, 2007). This implies that it is difficult to find a universally agreed upon definition for smallholder farmers. Lawder et al. (2014) indicate that family farms refer to the name given to small-scale farms in the Caribbean, Latin America, as well as the United States of America. In Brazil, the name family farm applies if the farm is managed by the family and there is no outside labour involved. FAO (2013a:7)

noted that “family farming includes all family-based agricultural activities (agricultural, forestry, fisheries, pastoral, and aquaculture production) which is managed and operated by a family and predominantly reliant on family labour, including both women and men”.

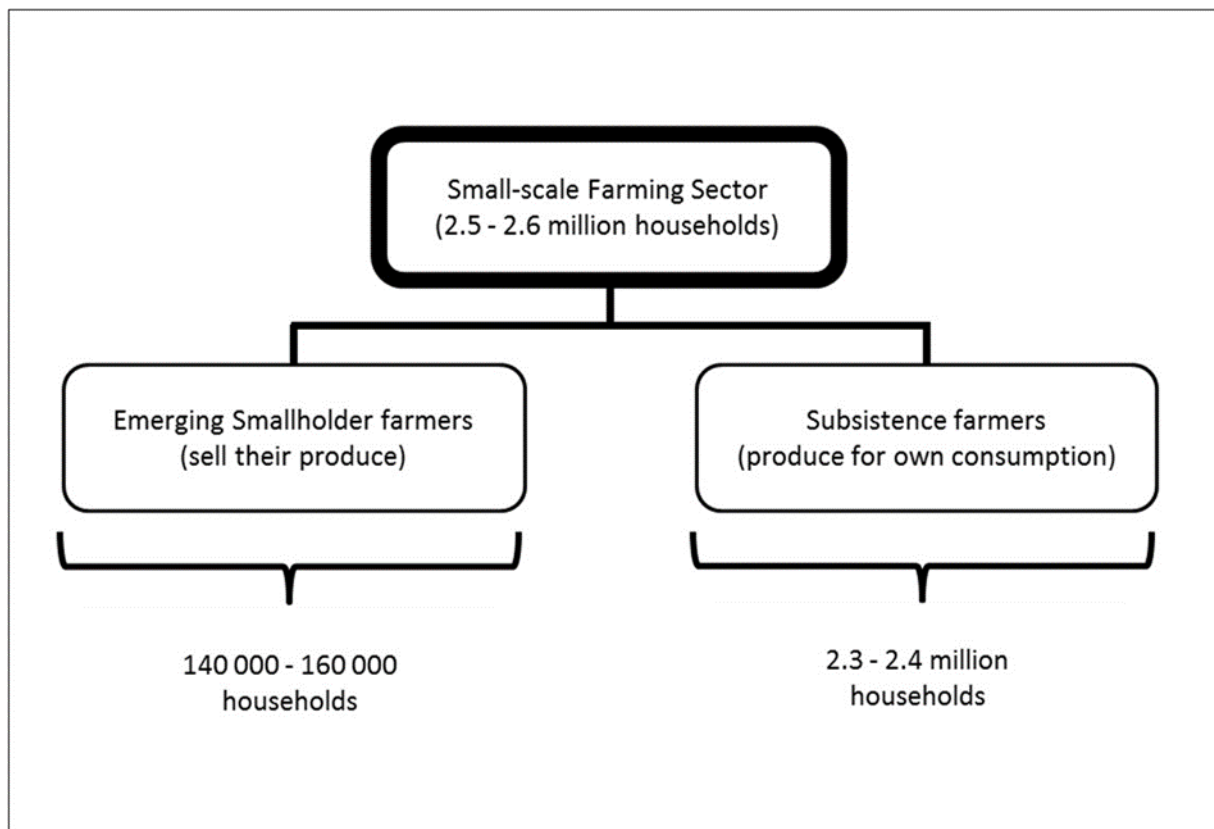
In trying to define the concept of smallholder farming, many aspects are taken into consideration and these include the farmers’ access to capital and land, their exposure to input technologies, their market orientation, as well as their exposure to risk (Chamberlin, 2008; FAO, 2014). In view of that, a few definitions are considered in this section. Lipton (2005) defines smallholder farming based on whether most labour activities are performed by family members. Ellis (1999), as well as Hendricks (2014) define smallholder farming as entailing those farm households having access to land and primarily rely on their family labour for production, while producing for subsistence, and or sometimes for market sale as well (cited in Machingura, 2007). For the World Bank (2003), a smallholder farmer is one with less than 2 hectares of cropland and has a low asset base. Narayanan and Gulati (2002) argue that a smallholder farmer is one who practises both commercial and subsistence production, while most of the labour is family-based. Other definitions of smallholder farming emphasise the issue of the size of the farm or the numbers of livestock. However, these perspectives fail to put into consideration essential factors like farming operations, the qualities of the resources, as well as the managerial abilities, which are not viewed in the context of the farm size. In this view, Kirsten and Van Zyl (1998:554) argue that:

*Size is not a good criterion for defining small farms. For example, one hectare of irrigated peri-urban land, suitable for vegetable farming or herb gardening, has a higher profit potential than 500 hectares of low quality land in the Karoo. Turnover, or rather the level of net farm income, determines the farm size category, not the land size.*

In South Africa, different terminologies are used to define smallholder farmers, with most of the terminologies being linked to the actual numbers of farmers in a certain group (Cousins, 2013). The common term often used is “small-scale”, which refers to black smallholder farmers with non-productive, non-commercial, as well as subsistence agriculture (Kirsten & van Zyl, 1998; Aliber, 2005; Aliber & Hall, 2010; Aliber & Cousins, 2013).

In South Africa, smallholder farming is mostly determined by the number of farmers or households engaged in agricultural activities on a relatively small scale. Aliber and Cousins (2013) noted that there about 2 million small scale farming households in South Africa. The

National Department of Agriculture, Forestry and Fisheries sub-divided these farmers into two separate categories, in its 2012 Integrated Growth and Development Plan (IGDP) (DAFF, 2012b). These categories are shown in Figure 2.2.



**Figure 2.2: Categories of emerging farmers in South Africa**

**Sources:** DAFF (2012b); StatsSA (2013); Pienaar (2013)

The first category is that of emerging farmers, who are referred to as the predominantly black farmers located in the former homelands. These include approximately 140 000 households which also practise commercial farming and market their produce (Tihanyi & Robinson, 2011). The second group comprises the subsistence farmers, also known as the IGDP and include about 2 million households participating in agriculture and only produce agricultural products for household consumption (DAFF, 2012b). Having defined smallholder farming from various perspectives and with special focus on South Africa, it is essential to go deeper and explore the concept of smallholder farming in the country.

Despite the many challenges facing the rural majority in the country, most of the rural people rely on agriculture for their sustainable livelihoods (Arko-Achemfuor, 2014). These farmers employ the traditional farming practices, which happen to be less expensive but also less

productive. Thus, Tshuma (2014) characterises smallholder farmers based on their socio-economic characteristics like demographics, skills, training, as well as land holdings. Tshuma noted that most of these farmers lack formal education and have limited access to skills and training opportunities. Sharing the same sentiments with Tshuma, Freguin-Gresh et al. (2012) noted that smallholder farmers in South Africa have little access to resources due to their being marginalised by the previous apartheid policies. In the same manner, Adekunle (2014) also pointed that South African smallholder farmers are poor people and lack the necessary capital assets to sustain their livelihoods.

#### **2.4 Smallholder agriculture and economic development**

The role of agriculture in the development of any economy cannot be over-emphasised. It is a fact that agriculture is major factor contributing to the growth of economies, through increasing food production, reducing food insecurity, malnutrition unemployment levels and subsequently, poverty, thereby improving the people's livelihoods (Christiaensen et al., 2010). This is true for the Sub-Saharan African region, where the majority of the population depend on agriculture, even though agricultural activities have been hampered by a number of factors which include poor climate conditions, shortage of labour, lack of agricultural land, lack of transport and access to markets (De Janvry & Sadoulet, 2010; De Graaf et al., 2011; UNDP, 2010). The challenges associated with smallholder farming will be discussed in depth, later in this chapter.

Smallholder farmers have a major role to play in the development of the country's economy. In the context of agriculture, it improves the quality of life of the communities in the rural areas through addressing issues of rural poverty, food insecurity, as well as unemployment (Ovwigbo, 2014). In this sense, Buffett (2012) indicated that for every 3-6 seconds, someone around the world dies of hunger, which according to him, adds up to 10 million people who die of hunger in the world. FAO (2013a) also found that almost 12% of the world's population, particularly in the developing countries, is insecure when it comes to access to food and nutrition, hence, the sustainable development goals are aimed at reducing poverty from all fronts. In this case, the role of agriculture is acknowledged. Incidences of poverty and malnutrition are evident in many developing countries, hence, the need for government to support smallholder farming as a way of efforts towards improving the quality of life of people (FAO, 2013a). The fact is that the majority of the rural population rely on agricultural activities for their sustainable development, and they also tend to benefit more from the GDP

emanating from agriculture than anywhere else. In this view, the International Fund for Agricultural Development (IFAD, 2012) noted that for development to take place, there is need to use the most important assets owned by the rural poor, labour. This thus implies the need for smallholder farmers to fight major odds and produce agricultural food to cater for the demands of the growing world population (World Food Programme, 2012). The World Food Programme (WFP) thus suggested the adoption of technological innovations in order to boost agricultural production. If they produce food in great quantities, this would mean a reduction in food prices and an increase in food accessibility by the majority of the poor communities. Again, the more food is produced, the more the demand for labour, and the less the unemployment levels (Laurence et al., 2014).

It has been noted that 80% of the food consumed in most of the developing countries is produced by smallholder farmers (WFP, 2012; IFAD, 2013). This indicates just how much smallholder farmers are contributing to poverty alleviation, as well as food security. As most of the rural people are employed in smallholding farming, this means the communities also get income to spend on locally produced goods, thereby also accelerating economic development (IFAD, 2013). In this view, the role of smallholding farming in economic development is undeniable. This indicates that agriculture is still central to African economies and has proven to be the panacea for poverty reduction (Agholor & Obi, 2013). In summarising the essence of smallholder farmers in economic development, Tshuma (2014) highlighted poverty alleviation, contribution towards rural income, creation of employment, backward and forward linkages (growth of related business), as well as the distribution of farming capital, whereby land ownership becomes decentralised and thus encourages the production of equitable economic opportunities for the rural poor. The discussion on the relevance of smallholder farmers for economic development highlights the need to assess the legislative framework in which the South African smallholder farmers are operating. This is the subject of the following section.

## **2.5 Relevant case studies**

This section identifies and classifies some agricultural policy intervention strategies in selected countries namely Brazil, Indonesia and Mexico, all of which are characterised by extensive small-scale farming but with low levels of development. Like in South Africa, small-scale farming in these countries is partially or totally meant for household

consumption, the countries have low productivity levels, and are also characterised by scarce resources and practice their farming in disadvantaged conditions.

### **2.5.1 Brazil**

Brazil is a South American country with vast agricultural area which covers more than 300 million hectares (IBGE, 2007). About 5,5% of the country's GDP is accounted for by agriculture. This South American country is known for exporting agricultural products, having produced a surplus of USD 70.7 billion in 2012 (OECD, 2013b). About 97% of its agricultural land is owned by ordinary persons, as compared to 2.7% which is owned by corporations. However, the corporations own almost 16% of land area (OECD, 2013). In terms of agricultural policies, Brazil is characterised by a dual policy because the country targets the small-scale and large-scale farmers separately. The country's Ministry of Agriculture, Livestock and Procurement (MAPA) is responsible for the commercial agriculture, while the Ministry of Agrarian Development (MDA) focuses on the small-scale farmers, known as family farming. Smallholder farmers are defined using the official MDA definition of a family farm, as provided in this chapter under the section on the definitions of smallholder farming. Based on their definition of family farming, about 84% of the country's farms are family farms (18.4 ha of land), while other farms occupy 309 hectares. Despite the commercial farmers dominating the export of agricultural produce, family farms in Brazil produce 70% of the food consumed locally (FAO, 2014a).

Land ownership is regarded as a constitutional right in Brazil, which also has got a good well-functioning land market system (OECD, 2013b). In this view, the government recognises traditional private property, as well as indigenous customary occupancy. Important legislative pieces regarding land rights in Brazil include the 1964 Land Statute which is aimed at regulating land tenure and specifying how the land reform programme should be organised, the 1981 Law of Occupation which acknowledges squatter rights and finally, the 2002 Civil Code, which organises property rights, family and possession (OECD, 2013a). These laws have resulted in the well-functioning land market system of Brazil.

In terms of addressing smallholder farming, most of the policies are aimed at promoting agricultural production amongst family farms and this is close incorporated with the broad-based social protection and development mechanisms designed to strengthen the inclusion of the most vulnerable populations of the country, so as to increase and improve their access to

food (FAO, 2014b). These policies are elements of the Zero Hunger Programme launched in 2003 and later on, the Extreme Poverty Plan of 2011 (FAO, 2014b).

The National Programme for the Strengthening of Family Farming (PRONAF) was formed by the Federal Government in 1996 and was mainly aimed at providing credit for small-scale farmers, the indigenous people, as well as the beneficiaries of land redistribution programmes, at desirable interest rates (OECD, 2013b). PRONAF thus provides twelve various credit lines aimed for specific groups which include the young people, women, people who are interested in developing biofuels, as well as those living in the semi-arid regions. In 2002, the MDA launched the Crop Guarantee Programme which is basically an insurance against bad weather conditions like floods and droughts which often affect the farmers' produce. In addition to this, there is also the PROAGRO-Mais which was launched in 2005 as an insurance programme aimed at covering the smallholders' insurance premium costs (OECD, 2013b). The Technical Assistance and Rural Extension Programme (TAREP) is aimed at providing smallholder farmers with the necessary technological and technical assistance, in order to ensure productivity by these farmers, as well as to encourage them to migrate to more effective production model. The existence of the programme is to offer financial support to certain smallholder farmers so that they acquire the necessary technical and or extension services. The MDA also instituted the National Education Programme for Land Reform (PRONERA) in 1998, aimed at improving the practical and academic capacities of the smallholder farmers. The PRONERA organised activities such as literacy studies for people of all age groups, including children, teenagers and adults, as well as technical courses for the adults and the youth (OECD, 2013b).

The year 2006 saw the formation of the Productive Organization for Rural Women Programme which was aimed at strengthening women associations, as well as empowering rural women through providing financial support (OECD, 2013). This policy helped women to gain entry into the market. This was a remarkable move, as many women often lacked access to markets, yet their labour positively impacts on family revenue (OECD, 2013b). In 2013, the Land Programme was created to mainly focuses on increasing the revenues of smallholder farmers who are beneficiaries of the land redistribution programmes. In addition to other policies aimed at addressing challenges faced by emerging farmers, it has been indicated that the country's agricultural policies are elements of the broader strategy aimed at reducing problems associated with food security, poverty and unemployment. The results of such policies have been positive, with poverty levels falling from 24.3% to 8.4% between

2001 and 2012, extreme poverty fell from 14% to 3.5% (FAO, 2014). The Zero Hunger programme saw more than 5 million rural people being lifted out of poverty between the years 2003 and 2009. However, the effects of the policies and strategies on the development of smallholder farmers can be difficult to unravel. Over and above, it has also been noted that smallholder farmers are also faced with similar challenges as those encountered by their South African counterparts and these include lack of credit, extension and technical assistance (OECD, 2013b; FAO, 2014).

### **2.5.2 Indonesia**

Indonesia consists of more than 100 million of its people residing in the rural areas. The country's 2013 census indicated about 22 million landholdings which are characterised by small farming units (Statistics Indonesia, 2014). The Indonesian agriculture accounts for 15% of the country's GDP, as well as 36% of its total employment. The country exports agro-food products, mainly palm oil and rubber which make 60% of its total export (OECD, 2013b).

In terms of legislation, Law No 19/2013 stipulates the need for protecting and empowering smallholder farmers with farms less than 0.5 hectares. In 1960, the country adopted the Basic Agrarian Law (BAL), which is regarded as the most important of all legislative pieces in terms of governing land rights in the country. The law stipulates the rights of all landowners, be they organisations or individuals, as well as the role of the State in land regulation. The Basic Forestry Law was adopted in 1967 to replace the BAL as the main legal tool relevant to forests. This was then replaced by the 1999 Forestry Law. The Indonesian government has been registering landholding, about 1 million holdings per annum, but it was argued if it happens at this pace, it will take more than 60 years to register all the farmers in the country (USAID, 2010).

Indonesia's Ministry of Agriculture does not have legislation specifically for smallholder farmers like in Brazil, yet smallholder farmers make up about 90% of the total farmers in the country. This implies that any policy aimed at the agricultural sector is likely to affect the smallholder farmers as they are somehow not protected in terms of legislation. Most smallholder farmers in Indonesia face similar challenges as elsewhere and these include poor infrastructure which limits connection to processors and traders, lack of access to information, poor farmer organisations, traditional technological use, as well as lack of capital to finance their farming activities. Despite the government making efforts to address this, these remain greater impediments. (Statistics Indonesia, 2014).

The agricultural sector is characterised by many policies, but as indicated earlier, these are not strange to smallholder farmers. Some of the policies include the Food Security (Food Law of 2012), the Poverty Alleviation Strategy, as well as the Plan on Acceleration of the Indonesian Economy and the Rural Community Empowerment Initiative (Lowder, Skoet & Singh, 2014). These are aimed at improving the lives of the people in both urban and rural areas. For smallholder farmers, efforts to help them through their challenges include fertiliser subsidies, agricultural infrastructure, mainly for irrigation, credit facilities, extension officers to provide market information, as well as technological development (Lowder, Skoet & Singh, 2014).

In 2008, the Ministry of Agriculture created The Rural Agribusiness Development Programme, aimed at providing financial support to any farmers willing to boost their agricultural potential. In this view, the beneficiaries of the programme would receive technical guidance from extension officers to ensure the success of the programme. This also helped smallholder farmers who worked to improve their agricultural practices. Indonesian government also allocates essential programmes to smallholder farmers, even though it has proven difficult to measure the exact share intended for them (Lowder, Skoet & Singh, 2014). It is also unknown, the extent to which the programmes reach out to the intended smallholder farmers, as this is poorly documented. It has been indicated that large commercial farmers are also beneficiaries of such programmes and sometimes they are the main beneficiaries. In short, it can be argued that smallholder farming in Indonesia is quite vulnerable, as the farmers are not fully protected, due to the absence of legislative pieces which specifically guards against their interests.

### **2.5.3 Mexico**

In Mexico, 3.5% of the country's GDP is accounted for by the agricultural sector, which also employs about 12% of its population. Mexico actually imports agro-food, with a USD 3.1 billion trade deficit recorded in 2013 (Banco de Mexico, 2014). The country has more than 5.5 million farm units, of which 2.4 million of these are very small. Mexico's land tenure system revolves around the farming collectives which are known as the ejidos and for a very long time, most of the country's rural majority was "tied to a great many small-scale farms with tenuous claims to specific plots of land, and efforts of commercial farmers to expand were bound by limits placed on their access to land" (OECD, 2006). The ejidos ensured that smallholding farmers' rights over land were protected. In Mexico, families are entitled to

inherit user rights to certain farms. However, the ejido system made it difficult for the emergence of land markets hence, the Constitutional Ejido Reform changed this in 1992.

In terms of policies, The Secretariat of Agriculture, Livestock, Rural Development, Fisheries and Food (SAGARPA) is aimed at elaborating policies that benefit both commercial and small-scale farmers. Smallholder farmers are not specifically defined in Mexico, but those with less than 5 hectares of land are classified in that category. The country's agricultural policies are mainly characterised by the provision of subsidies in form of inputs, credit insurance, provision of machinery, as well as training (Lowder, Scoet and Singh, 2014). These are aimed at improving productivity, but as indicated, there are no specific policies aimed at smallholder farmers. However, SAGARPA recognises the relevance of small-scale farmers and how they contribute to the country's economic growth, its role in poverty eradication, reducing unemployment, as well as in food security. In this view, 2013 saw many programmes giving preferential treatment to small-scale farmers. The Secretariat of Agriculture, Livestock, Rural Development, Fisheries and Food also highlighted the major challenges which impede smallholder farmers from accessing markets and these are not different from those mentioned earlier in this chapter. Some of the challenges include lack of farmer organisations, lack of technological advancement, poor health services, environmental degradation, high poverty levels, low education levels, as well as aging rural population. In this view, most of the agricultural policies are aimed at curbing these challenges (Lowder et al, 2014).

Essentially, PROMETE (programme in support of production projects by women entrepreneurs) is a programme aimed for women farmers to boost their agricultural activities. The programme provides financial support for individual training. The Productive Projects Programme for Agrarian Nucleus is also designed to provide financial resources for farmers to invest in agricultural projects. There are basically two programmes which are specifically for smallholder farmers and these include the Comprehensive Rural Development Programme, aimed at increasing food production by providing financial support for the development of infrastructure, the acquisition of equipment, as well as environmental production (OECD, 2013b). The second one is The Food and Agriculture Productivity and Competitiveness Programme which mainly covers the farmers' agricultural insurance, offers collateral for the acquisition of credit, as well as input subsidies. The Innovation, Research, Social Development and Educational Programme provides financial support to the small-scale farmers who use the money to buy equipment and machinery (OECD, 2013b). Overall,

it has thus been indicated that Mexico, like Indonesia, does not have legislative pieces that specifically protect smallholder farmers, as indicated in the cases of Brazil and South Africa.

All in all, the case studies discussed in this chapter have revealed that the countries have large numbers of smallholder farmers experiencing low levels of development, who are striving to produce agricultural output for household consumption like South Africa. It was also indicated that the countries have devised mechanisms to deal with such constraints, with the main objective to incorporate smallholder farmers into markets and eventually improving their quality of lives. The common thing among the cases reviewed is that their efforts towards incorporating smallholder farmers into the markets focus on training and subsidising inputs, in order to ensure that the farmers can access the important agricultural implements.

## **2.6 Smallholder farmers in South Africa: the challenges**

The previous sections have already touched on some of the constraints being faced by smallholder farmers in the South African agricultural economy. These include the legislative Native Land Act framework under which the farmers are operating. Thus, this section is an extension of the aforementioned challenges. In the main, the farmers seem to lack the necessary support system needed for their sustainable development (Chikazunga & Paradza, 2012). This results in the smallholder farmers failing to utilise the opportunities presented to them by the South African government (Anyike, 2011). During the apartheid government, commercial farmers were heavily subsidised by the then government, to enhance the agricultural economy (Chikazunga & Paradza, 2012). After the democratic transition in 1994, the country experienced some de-regulation in the agricultural sector, as discussed in the above section, while many subsidies were withdrawn. This negatively affected commercial farmers, with many of them withdrawing from the market participation (Bie'nabe & Vermuelen, 2011). In the same way, the currently emerging commercial farmers are finding it difficult to penetrate the agricultural economy, due to various reasons which range from low educational level, poor infrastructure, poor entrepreneurial skills, poor access to credit, as well as the lack of innovativeness needed for success in this kind of business (Bie'nabe & Vermuelen, 2011). Resultantly, many of the emerging farmers remain trapped in a cycle in which their farming activities are not yielding any positive rewards (Makhura et al. 2004).

Among other things, Nabbie (2013) also noted that the “unplanned” land reforms also negatively affect the economy, let alone food security for the country. Devaux et al. (2009) pointed that smallholder farmers experience lack of access to financial and physical

resources, which then reduce their potential to invest in farming activities that would boost or add value to their products. Cousins and Dubb (2013) also highlighted inadequacies in terms of business planning, poor credit and market facilities, lack of capital, poor infrastructure and irrigation, training and extension services, ineffective support, as well as poor post-settlement support, as the main challenges being faced by emerging farmers.

Aliber and Hall (2010: 2012) argued that the smallholder farmers have not received the attention that they deserved, since the dawn of democracy in 1994. Despite the many policy interventions and programmes, very little progress has been witnessed by smallholder farmers (Aliber & Hall, 2012; Sikwela & Mushunje 2013). As indicated earlier, the effects of the dismantling of the Bantustan Agricultural Development in the 1990s are still visible amongst the smallholder farmers. Despite the increased budgets in the form of grants to support smallholder agriculture, it is evident that most of the households are not receiving the attention or support that they seek, mainly because the given support happens to be skewed towards some farmers but not others (Aliber & Hall, 2010). Many of the farmers located in the former homelands seem to have been forgotten in their poor quality communal lands, resulting in poor agricultural production (Adekunle, 2014). These and many farmers lack the livelihoods assets (physical, capital, social and financial) that they need for sustaining their agriculture. These assets include, among other things: adequate water supply, proper housing and land infrastructure, seeds, fertilisers, machinery, labour, credit facility, as well as access to markets. Sikwela and Mushunje (2013) noted that despite the supporting policies, as well as the increased fiscal budget to help smallholder farmers, the fact is that the farmers are increasingly being faced with grave production challenges, resulting in most of them becoming insolvent. This indicates that the support rendered to these emerging farmers is far from being successful. Sikwela and Mushunje (2013) noted that the state funding was inadequate, fragmented and poorly designed. Thus, most of the smallholder farmers failed to take off mainly because of limited know-how, limited skills, as well as conflicts amongst group members who shared diverse interests.

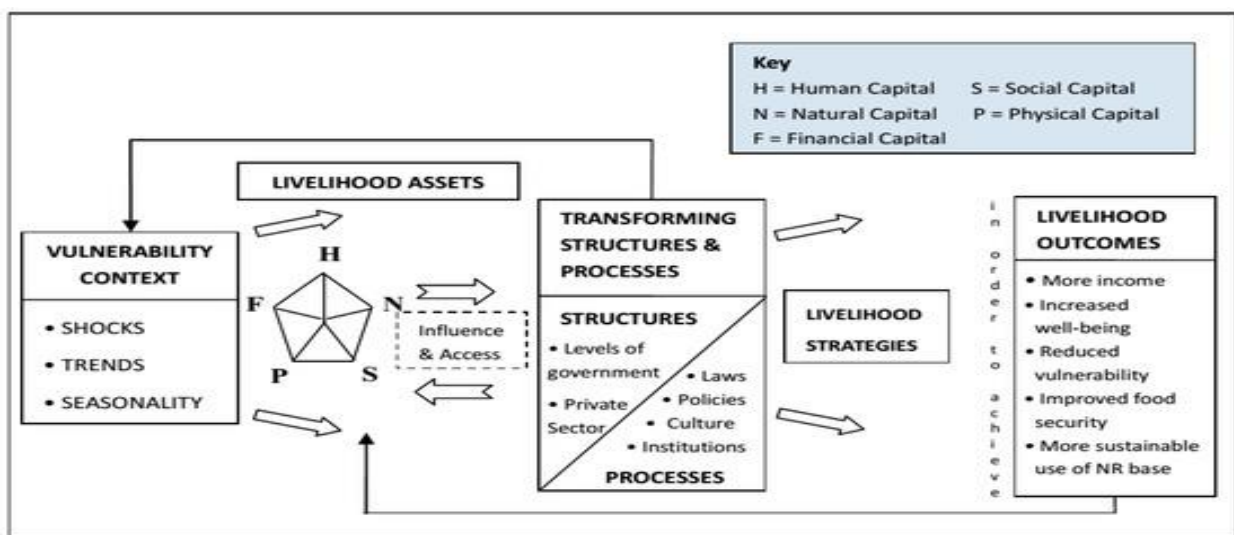
Adekunle's (2014) research findings on the Nkonkobe village smallholder farmers in the Eastern Cape showed that the farmers lacked seed, as well as the knowledge as to how to obtain seed that is appropriate for their particular kind of agricultural land, lack of access to information as to where they can sell their produce, lack of financial support and extension services. In the same way, Bienabe and Vermeulen's (2011) study revealed that many

smallholder farmers in South Africa do not participate at market level due to poor roads and communication infrastructure, most of them are only doing farming for subsistence purposes, they apply the traditional land tenure and they also have poor credit facilities.

## 2.8 Theoretical Framework

### 2.8.1 Sustainable Livelihoods Framework

The theoretical framework underpinning this study is the Sustainable Livelihoods Framework. The Sustainable Livelihoods framework perspective has been influenced by Robert Chambers in the 1980s and was then further conceptualised by Chambers, Conway and others in the 1990s (DFID, 2000: 12). As a developmental tool, the framework helps us to describe, analyse and understand the main factors influencing the livelihoods of people, particularly the poor people. This is diagrammatically represented in Figure 2.1 and explained in detail.



**Figure 2.1: Theoretical framework: Sustainable Livelihoods Framework**

**Source:** (DFID, 2000: 1)

In this view, key concepts are defined, as provided by different authors. The Department of International Development (DFID, 2000:1) defines livelihood in the following way;

*“A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks maintain or enhance its capabilities and assets, while not undermining the natural resource base”.*

For Scoones (2009:5), a livelihood refers to “how different people at different places live, how do people make a living, what are the forces at work that allow people to have access to resources, what capabilities they have to access the resources and what activities they do to pursue a living”. Chambers and Conway (1991:6) then present sustainable livelihoods as “a livelihood that comprises the capabilities, assets (stores, resources, claims and access) and activities required for a means of living”. The Sustainable Livelihoods (SL) framework thus highlights the fact that if development is aimed at poverty reduction, it should focus on certain things, in order to sustain the livelihoods of the people. The main assumption of the framework is that development should focus on the people, meaning that we should focus on what is more important for the poor people, their differentiated cultures, as well as how this influences the way they appreciate and understand their livelihoods (Aliber & Hall, 2012). Another important issue in this regard is that the people themselves have to be the key agents in identifying what is important for their livelihoods. The fact is that the people know their problems, know what is important for them, hence, they have to be listened to as they identify their priorities. In the context of this study, the focus is on the smallholder farmers, for them to identify the challenges that they encounter in their efforts to make sustainable livelihoods. The role of the external stakeholders that the financial institutions that provide resources is to be process facilitators who help these smallholder farmers to identify the priorities and assist them accordingly. In this view, partnership and participation become two very critical aspects in the development of the smallholder farmers. If the farmers actively participate in their developmental issues, they become empowered and not relying on outsiders to come to their rescue (Aliber & Hall, 2012).

Looking at the framework, the vulnerability context represents the external environment in which the poor people live. This includes aspects such as the technological trends, the population trends, shocks such as inflation and natural disasters, as well as seasonality, which simply refers to how prices, employment opportunities and production often change with seasons. These factors affect the people’s assets and therefore, their livelihoods sustainability. In fact, the SL framework assumes that in order to gain a positive and sustainable livelihood, people need assets, different types of assets which they need to fulfil the livelihoods that they seek. These assets are described below, as described by Scoones (2009):

- *Human capital*: this refers to the ability to labour, skills, knowledge and good health. Human capital is the basis of the other kinds of capitals that exist.

- *Social capital*: these are the social resources from which people can get help in order to achieve sustain their livelihoods. For instance, belonging to some memberships or groups, or simply networking with the right people from which one can get help.
- *Natural capital*: this comprises both the tangible factors like natural resources (land, water, etc) and the intangible products (e.g. atmosphere and biodiversity).
- *Physical capital*: this refers to the basic infrastructure, as well as goods needed to support people's livelihoods (e.g. roads, transport).
- *Financial capital*: comprises the financial resources needed by people to achieve the livelihoods that they seek.

As far as the transforming structure and processes are concerned, these include the institutions, organisations and policies that influence or frame the livelihoods of the people and these are found at all levels – from the household to the international level. The importance of these processes and structures is that they determine the level of access that people can have to the different assets indicated above, hence, their importance cannot be overemphasised. Examples of processes include ownership rights and laws, international agreements, while structures include the different ministries, financial institutions that give credit to the farmers, as well as self-help groups in the local community (Scoones, 2009).

Livelihoods strategies refer to how people act, for them to be able to achieve their desired livelihoods. For instance, the level of access to different kinds of assets affect or influence the strategies that people employ in order to survive, while the structures and processes in different societies also inform the possibilities and constraints or challenges on the strategies that people adopt. Lastly, livelihood outcomes refer to what the people achieve at the end of the day, based on the livelihood strategies that they would have employed. These outcomes can be described by the local people themselves, since they differ and include not just income (Scoones, 2009).

## **2.9 Chapter summary**

This chapter discussed a number of issues related to smallholding farming. Essentially, the literature review highlighted the different definitions given to smallholding farming, which could be argued to be context-based. As a result, there is no specific way of defining smallholder farmers, but this varies from country to country. In the main, smallholding farming has been described in depth, particularly in the context of South Africa. The

legislative framework in which smallholder farmers operate in South Africa has also been described. The economic contribution of smallholder farming was also discussed at length, the main argument there being the role the sector plays in ensuring food security, reducing poverty levels, as well as unemployment. The challenges associated with smallholder farming were also addressed. Case studies were provided, with the aim of showing what smallholder farming means from different countries. Thus, from the literature provided in this chapter thus far, it has been indicated that smallholder farmers in different parts of the world are faced with a variety of challenges, in most cases the respective governments intervene through various policies, albeit with little effect or success. Despite some of the policies helping smallholder farmers to improve their agricultural practices, it has been indicated that most of the interventions are short term. Hence, more could be done to ensure that smallholder farming is supported, having realised the role that it plays in the economic welfare of any country. The theoretical framework underpinning this study was also described in this chapter. The next chapter describes the methodology employed to answer the study's research questions.

## **CHAPTER 3: RESEARCH METHODOLOGY**

### **3.1 Introduction**

Research methodology refers to the step by step process of collecting and analysing data in order to answer the research questions. It is thus the systematic way of analysing the research problem (Rajasekar, et al., 2013). In this view, the methodology that is employed in each study is highly determined by the objectives of the study, that is, what the study seeks to achieve in the end. There are three main types of research approaches, namely the qualitative, quantitative and mixed method research. These approaches are also determined by the paradigms under which they fall. In this view, this chapter describes the methodology undertaken to answer the research questions. Thus, the following elements are discussed: the research approach that was chosen, location of the study, target population and sampling, research instrument, pilot study, as well as the ethical considerations. Essentially, aspects of validity and reliability, as well as the limitations of the study, are also highlighted.

### **3.2 Research approach**

Qualitative research methods are aimed at appreciating people's views, opinions and perceptions about life. Strauss and Corbin (1998: 11) define qualitative research as "the research about persons' lives, lived experiences, behaviours, emotions and feelings, as well as about organisational functioning, social movements, cultural phenomena, and interactions between nations". The qualitative perspective is thus interested in comprehending the meanings created by people, as well as how they make sense of the world, based on their personal experiences. In this way, the qualitative approach is inductive in nature and is derived from the interpretivist paradigm which basically highlights that reality is relative and multiple (Creswell, 2014). The main tenet of the interpretivist paradigm is that we need to understand and interpret meanings based on human behaviour, rather than generalising, as well as predicting causes and effects, as indicated by the positivist paradigm (Neuman, 2011; Creswell, 2014).

On the other hand, research can be done quantitatively. Quantitative research is rooted in the positivism paradigm, which basically argues about the existence of a single objective reality in any form of research, despite the researcher's belief systems (Creswell, 2014). In quantitative research, numerical data are gathered and analysed using statistical methods. Quantitative research thus emphasises measurement, gathering and analysis of data. Lastly, the mixed method approach highlights the importance of integrating both qualitative and

quantitative research methods, in order to enhance the findings of the study. Also known as triangulation, the mixed method approach highlights the need to cover the flaws of one specific method with the other one (Creswell, 2013). Creswell argues that the mixed method approach enhances the credibility of the study, as the weaknesses of one method can be overcome by the other.

Given the objectives of this study, the qualitative research approach seemed to be the most appropriate. A thorough investigation of most of the studies done in this field indicated that most of the studies are quantitative in nature. This prompted the need to close the gap by gathering qualitative data which seek to provide the emerging farmers' opinions, views and perspectives regarding their smallholder farming. The exploratory nature of the qualitative approach makes it ideal in achieving the objectives of this study, as the study aims to enhance our understanding of the fundamental reasons behind the failure of smallholder farmers in the KZN province. The study seeks to lay bare and tease out the insights, motivations and opinions of the farmers, regarding their farming activities. The qualitative perspective thus emphasises the importance of understanding a phenomenon from the lived experiences of the participants (Bryman, 2015).

### **3.3 Location of the study**

This study took place in the KwaZulu-Natal Province, targeting farmers in the province's Durban District. As indicated in Chapter 1, some financial institutions are investing by providing finance to emerging farmers and this is also taking place in the KZN region. The researcher is in the development finance corporation, where his main responsibility is to facilitate the financing of emerging farmers and other entrepreneurs. It is during this experience that the researcher noted how most emerging farmers in the region fail to succeed in this industry, due to varied reasons which include the volatile market conditions like drought. Another issue is that most of the emerging farmers are inexperienced and therefore do not really understand the cycles for crop planting and animal production. Hence, the researcher chose this location in order to get a more in-depth understanding of the challenges being faced by smallholder farmers in the region.

### **3.4 Target population and sampling**

Target population refers to the whole from which a sample for the study is drawn. In the context of this study, the population thus entails all the smallholder farmers in the province of KZN, as described in the above section. However, the target population comprises those

smallholder farmers who have been allocated land for agricultural purposes under land reform by the government, those who bought the land through funding by various organisations and also those allocated by their traditional leaders. The researcher also targeted those farmers who also received funding in the form of grants and enterprise development loan through Ithala and other development finance institution (DFI's). In addition, officials from the Department of Agriculture (DARD) and Ithala Development Finance Corporation (IDFC), eThekweni Municipality also formed part of the target population.

On that note, a sample was drawn from this group of population. Sampling entails the actual selection of participants for the study, based on what the study aims to achieve (Salkind, 2012). The type of sampling is thus determined by the objectives of the study. There are two main types of sampling, probability and non-probability (Swanepoel et al; 2012). In the former, all the elements in the population have a chance of being selected to be part of the study. The common type in this regard is the random sampling, whereby elements to be included in the study are randomly picked. On the other hand, non-probability sampling is different, in the sense that participants or elements to be included in the study are carefully chosen, based on the researcher's discretion and knowledge of the participants.

In the case of this study, non-probability sampling was employed, for the sole reason that the participants should be knowledgeable about the phenomenon under study and should thus be able to provide the information sought by the researcher. Thus, the researcher employed purposive, convenience and snowball sampling, ensuring that the participants chosen for the study fell within the category of emerging farmers and were facing some challenges within the sector. Snowball sampling is defined as "a technique for finding research subjects. One subject gives the researcher the name of another subject, who in turn provides the name of a third and, so on" (Vogt, 1999: 134). Thus, in this case, the researcher relied on the respondents' knowledge of the farmers who could provide meaningful information for the study. In terms of purposive sampling, the researcher chooses participants who are able to provide the information being sought, hence, the researcher purposively sampled participants who were engaged in some form of smallholder farming, who would be able to engage and provide the necessary information.

Initially, the researcher envisaged to select the farmers from the province's database. Unfortunately, efforts to access the KZN data base for smallholder farmers were futile. As a

result, the research relied on referrals from relevant officials, who also then formed part of the study. The researcher approached an official known to him, who worked at the Department of Agriculture and Rural Development (DARD), at the plantation section. This official helped in identifying emerging farmers in the Durban District. The DARD official introduced the researcher to another official who is responsible for providing advisory services to crops and vegetable emerging farmers. The officials from DARD identified whom they referred to as “the best performing farmers”, according to their portfolios. These farmers specialised in various agricultural activities ranging from animal husbandry (piggery, cattle) to crop production. Therefore, four farmers (two of whom belonged to cooperatives, hence they represented their cooperatives) were identified by the officials from DARD. The researcher is an official of IDFC, so he also identified two farmers who were clients of the financial institution. One of the farmers is a sugarcane grower, while the other one specialises in vegetable farming, poultry, piggery and sheep farming. All in all, six farmers participated in the study. Table below represents participants in the study.

<b>Organisation</b>	<b>Position</b>	<b>Number of years in the organisation</b>
Ithala Development Finance Corporation (IDFC)	Due Dilligent Analyst	3 years
Department of Agriculture and Rural Development	Agricultural Advisor	16 years
eThekwini Municipality	Agro-Ecologist/ Horticulturalist Advisor	9 years
Ithala Development Finance Corporation (IDFC)	Trainee Account Manager	2 years
Ekhanyisa Sizanani Trading (Pty) Ltd	Managing Director	6 years
Nqabayensimbi Cooperatives	Chairperson	10 years
Emaphephetheni	Sole Director	2 years
Ethekwini Live Stock Association	Chairperson	20 years
Ikhwezi Farm	Sole Director	10 years
Individual farmer	Managing Director	22 years

In terms of the officials, the researcher approached the institutions described earlier, to which he was referred to the relevant people to speak to, by the management of the respective organisations. From IDFC, the researcher was referred to an official who is the Due Diligent Analyst specialising in Agriculture and another one who is a Trainee Account Manager, also specialising in Agriculture. An official from eThekweni Municipality also provides advisory services to smallholder farmers, hence, the researcher also sought his opinion about the challenges being faced by emerging farmers in the district. The researcher thus contacted the participants telephonically to schedule appointments for the interviews. Overall, four officials participated in the study, to make a total of ten participants, including the six farmers greater Durban district.

### **3.5 Data collection instrument**

The main source of data collection was the interview guide (see Appendix 1), with semi-structured questions based on objectives and theoretical framework. The interview guide was used to seek information from the smallholder farmers and the officials who participated in the study. The reason was to ensure that the participants engaged in meaningful conversations with the researcher, thereby giving them the platform to express their views, opinions and insights regarding the farming activities in the area, particularly the challenges that they faced as emerging farmers. Thus, the questioning technique helped in teasing out their experiences, in as far as smallholder farming is concerned. The researcher also made use of the digital recorder, with the permission from the participants, to record the interviews.

### **3.6 Pilot study**

Pilot study entails the pre-testing of the research instrument on a small sample, in order to enhance the effectiveness of the investigation (Strydom, 2011). For this particular study, the research instrument was tested on a small sample of emerging farmers, who were not going to be part of the main study. In addition, two officials from the Department of Agriculture also participated in the pilot study, and the researcher ensured that these did not participate in the main study. The purpose of doing so was to ensure that any necessary changes to the research instrument were made. The change made to the research instruments were in form of the language, or the questioning technique. Thus, feedback from the mini sample was incorporated into the final research instruments.

### **3.7 Data analysis**

Data analysis began with transcribing the tape-recorded data from the interviews, while the researcher also took time familiarising with the data collected using the questionnaire. Qualitative data are analysed qualitatively. In this view, the collected data were analysed through what is called thematic analysis, whereby themes were identified and coded based on the perceptual framework, as well as the research questions (Bryman & Bell, 2007; Neuman, 2011). This also entailed continuous re-visiting of data, re-examination and re-evaluation, in order to be able to revise and refine the codes, as the data analysis progressed. The identified themes are therefore presented and discussed in the data presentation and analysis chapter, which is the next chapter.

### **3.8 Ethical considerations**

Ethical considerations are essential elements of any kind of research. In view of that, the researcher ensured that he abided by the ethical issues concerned. These included seeking the gatekeeper's letter (see Appendix 4) from the participants selected for the study, ensuring informed consent from the respective participants, as well as ensuring confidentiality and anonymity of the participants. The gatekeepers' letters were also sought from the Department of Agriculture (DARD), eThekweni Municipality and Ithala Development Finance Corporation (IDFC). Essentially, the researcher applied for ethical clearance from the University of KwaZulu-Natal's ethics committee (see Appendix 3). After this was granted, the researcher undertook the fieldwork of data collection, where prior to that, the purpose of the study was explained to the participants and they were assured that their participation was voluntary, and they could withdraw from the study at any point they deemed necessary, without any negative consequences. The participants were also assured that the data collected were exclusively for academic purposes. In addition, the researcher made it clear to the participants that there were no incentives involved in participation, but rather, the participation was on a voluntary basis. Participants were not called by their real names, only referred to as participants.

### **3.9 Reliability and Validity**

Issues of validity and reliability are essential in any study. Validity refers to the extent to which a research instrument measures that which it is intended to (van Zyl, 2013). In qualitative studies, validity and reliability are measured through trustworthiness. Streubert, Speziale and Carpenter (2003) noted that trustworthiness involves identifying the validity and

reliability of qualitative research. Thus, qualitative data are perceived to be trustworthy if they accurately identify or represent the experiences of the participants involved in the study. Trustworthiness thus establishes the reliability and validity of qualitative studies (Streubert et al., 2003; van Zyl, 2013). To ensure the validity of the research instruments, the researcher performed the pilot studies, which enhanced the quality of the questions, as well as the questioning techniques.

### **3.10 Limitations of the study**

This study was limited to emerging farmers in the KZN Province. This implies that the findings of the study cannot and should never be generalised in any similar contexts or situations. This is because the modes of operation, as well as the factors that affect their farming activities, might be different from those of other provinces.

### **3.11 Chapter summary**

This chapter described the methodology underpinning the study. In this view, the rationale for choosing the said methodology has been clearly indicated. The researcher described the location of the study, the target population and sampling techniques, as well as the data collection instruments. Essentially, the step by step methods undertaken to collect data were described fully in this chapter. Issues of ethical considerations, data analysis, pilot study, validity and reliability, were all described. The limitations of the study were also noted. The next chapter presents the findings of the study, based on the data collected as described in this chapter.

## **CHAPTER 4: DATA PRESENTATION AND ANALYSIS**

### **4.1 Introduction**

This chapter presents and analyses the data gathered through the methods explained in the previous chapter. The findings are presented based on the themes that emerged during the data analysis phase, as well as the theoretical framework described in Chapter 2. Because of the overlaps in some of the themes identified from the two different groups of participants (farmers and officials), the data will be presented and discussed concurrently where there are overlaps, to avoid repetition.

### **4.2 Description of the farmers**

The participants of this study were varied, in terms of who they were and what they do. Overall, ten people participated in the study, four of them being officials from different organisations, as well as six farmers who either practised farming as individuals or they belonged to some farming cooperatives. Amongst the farmers there was a male who started farming in 1996 after receiving training from Kwa-Zulu Technical Centre. He started the 1000-broiler operation and makes 250 weekly sales. He buys day-old chicks from the National Chic, Feed, and EPOL. There was also a representative from the Ikhwezi farm (the Director) who boasted of over 10 years of experience in sugarcane industry and has a teaching background. He indicated that he had all the farm resources and a business acumen. He also pointed that he bought the farm that was on the market for sale through funding from Ithala Development Finance Corporation (IDFC). eThekwini Live Stock Association was also represented by an individual who pointed that although they belong to the association, they are individual small holding livestock and vegetables farmers located at No 9 KwaXimba location in Cato Ridge. They are not funded, but they only receive farming inputs from the Department of Agriculture (DARD). Another farmer indicated that he started a small piggery operation in August 2017 by chance, when one of his friends told him about sows that were for sale in Richards bay. He then bought 10 sows and 2 boars. He is currently breeding and hoping to start selling when they reach 250 sows capacity. He has farming background inherited from his father who was smallholder farmer doing vegetables (cabbage, carrot and spinach), broilers, cattle, and goats. Another participant (the only woman amongst the participants) indicated that she started as an entrepreneur doing government tenders, specifically school nutrition programme in 2012, but then saw a gap in the farming sector, as most vegetables were being sourced from vegetable farmers, hence, she approached Ithala

Development Finance Cooperation (IDFC) in 2016 for funding. Another cooperative, Nqabayensimbi Cooperatives, was also represented by one member who noted that they are individual small holding farmers from 2008 who formed a cooperative in 2012. They are also not funded, but they only receive farming inputs from Department of Agriculture (DARD) and eThekweni Municipality.

In terms of education and perhaps qualification in the fields related to farming, the researcher gathered that one of them had primary education and formal broiler training received in 1996 from KTC, the female participant obtained a Bachelor of Science degree in Agriculture and did various agricultural training, including crop and animal production, another participant completed Grade 12 and received farming (vegetable production) training from DARD and eThekweni Municipality, one had an Honours degree in Geography and Zoology and has no farming or formal piggery operation training. Another participant from a cooperative pointed that he completed Grade 12, while other members of his group (who were not interviewed) also have primary education and one of them never went to school at all. He indicated that they did not receive any formal agricultural or farming training. The last participants indicated that he received a Diploma in Teaching, as well as a sugarcane crash course from the Cane Growers Association. Overall, the participants for the study were relevant, in the sense that they were involved in smallholder farming, even though some of them had qualifications which had nothing to do with agriculture, but the fact that they diverted their interest into agriculture meant that they provided the relevant information needed to answer the research questions.

#### **4.3 Description of the Officials**

One of the officials represented the IDFC and started working for the organisation in November 2016 as Due Diligent Analyst. Prior to that, she was working for Department of Agriculture in Free State for 11 years. She holds a Bachelor of Science Honours degree in Agriculture. Another participant from the same organisation pointed that she started working for IDFC in February 2017 as Trainee Account Manager, Agri-Business. She holds a Bachelor of Commerce degree in Agri-Economics. The third official was from eThekweni Municipality, which she joined in January 2009 as Agro-Ecologist / Horticulturalist Advisor (extension services to emerging farmers). She holds a Bachelor of Science (Agriculture) degree, specialising in animal production. The last official indicated that he started working

for DARD in January 2002 as Agricultural Advisor (extension services to emerging farmers). He holds a Bachelor of Science (Agriculture) degree, specialising in animal production.

Having established the descriptions of the participants, the sections which follow present the findings in terms of the themes that emerged during data analysis. The data are presented and critically discussed in relation to the literature presented in Chapter 2, as well as the theoretical framework, also described in Chapter 2, where appropriate. In the actual words quoted from the participants, some of them mentioned names of their partners, which the researcher replaced with pseudonyms, to protect the identities of the participants.

#### **4.4 The socio-economic status of the farmers**

##### **4.4.1 Smallholder farmers' livelihood strategies**

The researcher was interested in understanding the livelihood strategies of the farmers. In this view, the question posed to them was, besides farming, what else did they do for a living or for their livelihoods. Unsurprisingly, it emerged that most of them rely on their farming, or the social grants, as indicated below:

*Participant 1: I depend on the broiler sales to support my family and no other income.*

*Participant 2: I am now an entrepreneur, after resigning from my permanent employment at DARD.*

*Participant 3: We receive child support grant, all of us in the cooperative. Another one of us receives the disability grant and Ms Nhlanhla is receiving child support grant and foster child grant*

*Participant 4: I run a successful operation and only rely on salary to support my family.*

*Participant 5: I am fulltime employed by uMhlathuza Municipality as Operations Manager and doing farming part-time.*

*Participant 6: We are (the cooperative members) all pensioners.*

Livelihoods strategies refer to how people act, for them to be able to achieve their desired livelihoods. For instance, the level of access to different kinds of assets affect or influence the strategies that people employ in order to survive, while the structures and processes in different societies also inform the possibilities and constraints or challenges on the strategies that people adopt (Scoones, 2009). Lastly, livelihood outcomes refer to what the people achieve at the end of the day, based on the livelihood strategies that they would have employed. These outcomes can be described by the local people themselves, since they differ and include not just income.

The findings presented above confirm those by Stats SA (2016), as well as Thamaga-Chitja (2014), who found that many South African rural households survive through a mixture of livelihoods strategies, from social grants, salaries, wages, pension funds, as well as income. However, despite the strategies, agricultural activities contribute to most of their subsistence (Thamaga-Chitja, 2014). It has also been indicated that smallholder farming provides food to about 80% of the Sub Saharan and Asian population, while supporting up to 2.5 billion people in the whole world (IFAD, 2013). In South Africa, the rural population mostly survive on social welfare systems like the disability grant, the pension payouts, old age and child support grant, as hinted by most of the participants in this study. From the researcher's observation, this kind of well-established welfare system has made most families not relying on using the land. However, despite the public welfare system, there is still need for the rural folk to accelerate development through exploring the potential of agriculture (Sikwela et al, 2013). Smallholder farming has proven effective in terms of providing income and foodstuffs, thereby ensuring rural development and food security.

Since they indicated to rely on their farming, the researcher also sought to establish their sources of manpower, whether they hired labour to work in their fields of specialisation or they relied on family labour. The following responses emerged from the participants:

*Participant 1: I do everything myself, with assistance from my wife. My operation is small and I can manage on my own.*

*Participant 2: I have a farm manager and 12 farm labourers. I am currently training my daughter how to run the farm.*

*Participant 3: I have a farm manager with four permanent labourers and four temporary labourers employed during planting and harvesting time.*

*Participant 4: During planting we employ people, unemployed youth from the community, otherwise we do everything ourselves*

*Participant 5: As I said before, for us keeping livestock (imfuyo) and planting vegetable is the way of living. We believe that everybody in our families should be involved. Children during weekend and holidays should be involved, while the elders (omama nobaba) are doing it every day. As cooperatives, sometimes we help each other during planting times and advise each other's on how to plant vegetables.*

*Participant 6: I employed one person to feed and look after piggery with an assistant by the family. I only come to see the operation over the weekend, and they call me in case of emergency.*

The responses presented above clearly show that agricultural activities can be a source of income for many rural families, evidenced in how some people are employed to work for the smallholder farmers. Literature has also indicated that smallholder farming helps in curbing the challenge of unemployment and eventually, helps in poverty reduction. For instance, Tshuma (2014) highlighted poverty alleviation, contribution towards rural income, creation of employment, backward and forward linkages (growth of related business), as well as the distribution of farming capital, whereby land ownership becomes decentralised and thus, encourages the production of equitable economic opportunities for the rural poor.

#### **4.4.2 Land acquisition**

An important question for the researcher was to establish how the current smallholder farmers got to own the land that they use for agricultural purposes. In this regard, the participants indicated to have owned the land through various means, as illustrated below:

*Participant 1: It is a tribal authority land apportioned with no borrowing from the bank.*

*Participant 2: I bought the farm through borrowing funding from IDFC.*

*Participant 3: The cooperative owns 4.5 hectares (ha) which was donated by Ethekwini Municipality through a 40-year free lease.*

*Participant 4: It is a tribal authority land apportioned to my late father, with no borrowing from the bank.*

*Participant 5: The farm was funded through enterprise development fund from IDFC*

*Participant 6: We live in a tribal authority land. I also have 7 ha that I use to plant maize and vegetable, that was also apportioned by the Chief (Kwa-Ximba Tribal Authority)*

Another question related to this probed them about the size of their land, as well as how much of the land were they able to cultivate. In terms of the land size, the respondents noted the following:

*Participant 1: Smallholding estimated to be 100 x 100 m<sup>2</sup>*

*Participant 2: I have 32 ha land, which 24 is arable, good for planting vegetable.*

*Participant 3: We all occupy less than a hectare of land (estimated at 0.5 ha), but Mr Khaya has 7 ha added to plant vegetable*

*Participant 4: The cooperative owns 4.5 hectares (ha) which was donated by Ethekwini Municipality, while Ms Kunene has about 1 ha at her home and some of us are living with their family*

*Participant 5: Smallholding estimated to be 2.5ha*

*Participant 6: The farm is 235 hectare (ha), which 210 ha is under sugar cane*

One of the participants indicated that he planted five ha and other men planted in all the land they have. The cooperative has approximately 800 cattle. Another participant with 32ha land pointed that the farm started operating in February 2018 and he has already harvested first cycle crop of vegetable, cabbage – 15 ha (750 tons) and spinach – 5 ha (150 tons), while

another participant noted that he cultivated the whole 4.5ha of land. The participant who breeds piggery indicated that he planted one ha of vegetables and had just started with piggery and only breeding until he reaches 250 sows capacity.

The findings presented above show the importance of land, particularly to rural people. This was also confirmed by the officials who participated in the study. Asking them what they thought are the key assets that smallholder farmers should have, as well as their role in ensuring that the farmers get them, the officials responded this way:

*Participant 7: Land is the main asset that farmers need, but land on its own cannot deliver results. Therefore, capital is as important. Over and above, they need tractors, irrigation, proper pack house, delivery truck and other farming implements, e.g. planters, disking etc.*

*Participant 9: Capital, as well as land, I am not much involved, but I help them through applications for these resources*

*Participant 10: Big land, planting tools, irrigation system, containers as pack house and fencing. We are assisting smallholders, mainly those with less than a hectare of land, so they do not need tractors, planting equipment. eThekweni provides assistant in that regard.*

The responses from the farmers indicate that most of the respondents were allocated the land by the tribal chief (tribal authority apportionment), while a few others were funded by the IDFC to buy the land. Interestingly, none of the respondents has gained the land through the currently sensitive land reform programme which is underway. The land reform programme is an effort by the government to apportion land to the smallholder farmers, but since the programme started, not much has been achieved, particularly in terms of the victims of the land dispossession (Twala, 2013). In addition to that, the willing buyer willing seller approach on the land redistribution will not make it up for the land injustices of over 300 years (Chivanga & Kang'ethe, 2015). As a result, the continued shortage of land for agricultural purposes continues to pose food security threat in South Africa (Siulemba & Moodley, 2014).

The responses regarding the amount of land which they managed to cultivate indicate that there is a lot of potential to increase food production, if the farmers expand in terms of the land size which they work on. The fact that they did not manage to utilise the available land might indicate some challenges being faced, like lack of finance, seeds, fertilisers or other resources to fully utilise the land. The question on the challenges will be addressed later in this chapter, when the researcher discusses the challenges highlighted by the farmers. However, the fact that most of the respondents indicated that they cultivate most of the land is quite encouraging, indicating the potential role of smallholder farming in contributing towards food security, unemployment, as well as poverty eradication. In concurring with this, Tshuma (2014) also noted that the role of agriculture in poverty alleviation and job creation has also been recognised by the South African government. In the same way, it has been noted that poverty alleviation and food security are possible in the rural South Africa, provided that the issue of land and other important livelihoods are considered (Kepe, 2009). In this view, the South African Constitution (Act 108 of 1996) is the main policy document stipulating the need for land, in order to address issues of inequality, poverty alleviation and unemployment (Agholor & Obi, 2013). It is a fact that a large number of the South African population is rural based and is thus stricken by landlessness, poverty, food insecurity and unemployment (National Planning Commission, 2012; De Cock, et al, 2013). In view of this, rural development is indeed imperative, and this can also be achieved through supporting economic activities like smallholder farming. It is also in this view that the South African government made rural development as one of its top priorities (Olivier et al, 2010), even though this has not born much fruit in terms of eradicating unemployment and poverty. Despite its rural development policy, as well as its declaration that “no political democracy can survive and flourish if the majority of its people remain in poverty, without land, without their basic needs being met and without tangible prospects for a better life, attacking poverty and land deprivation will therefore be the first priority of the democratic government” (Olivier et al. 2010:5), since its inception into power, the ANC government seems to have failed the majority of the rural poor in this regard. The majority of South Africans are still without land, hence the land reform programme, because land ownership is the basis of rural development. Since coming into power in 1994, the ANC is still battling to address the land issue, so as to address the imbalances of the past (Twala & Selesho, 2013).

#### 4.4.3 Commercial versus subsistence farming

Another important issue to establish was the extent to which the smallholder farmers produce their agricultural products for both subsistence and commercial purposes. In answering this question, they put forward the following responses:

*Participant 2: 13 000 broilers were sold to the community and surrounding areas, as access to the formal market is difficult.*

*Participant 3: Yes, cabbage and spinach were sold to the community, because we cannot sell them to the bigger markets. Nothing last season, but as mentioned above has already, we harvested cabbage and spinach.*

*Participant 5: We sold cabbage, spinach, butternut and onion to Spar supermarket, Bridge City Mall at KwaMashu. Some of the vegetable that was rejected by Spar was sold to the community. We have to call Spar before supplying them, otherwise they don't take anything if we don't call.*

*Participant 6: Yes, all was sold to Illovo Mill, which yielded 60 tons per ha (12 600 tons).*

Another participant indicated that he lost all his maize through straying animals which are able to penetrate his 7-hectare land. To the researcher, this implied that the farmer could not afford to protect his land from straying animals, highlighting the need for some kind of assistance in ensuring that the crops are protected from animals. Another participant highlighted that he could not tell how much exactly they sold, because most of the produce is used to sustain their families and the surplus is sold to the community. He added that some community members knock at their gate when they see their vegetables are ready for harvest. Those who rear animals and poultry indicated that they also experience the same during December holidays, when community members want to buy livestock for various rituals (*Umsebenzi*), or even for funerals. A related question posed to the participants aimed at establishing their understanding of integrated and diversified farming, to which they presented these responses:

*Participant 1: I don't understand anything. I am only a broiler farmer, nothing else and I would not do anything else.*

*Participant 2: I know it has to do with a degree of mixed farming, which I am not going to worry myself at this stage of my life (the participant was 76 years old).*

*Participant 3: Yes, I know, I am doing not only vegetable, but field crop and animal farming as well.*

*Participant 4: We are planning to do rabbit farming, but still gathering information. We are also thinking of eggs farming.*

*Participant 5: We believe we are doing it and would appreciate to get more information for other things to do. We are working on a plan to start something, our area is very hot and sheep farming will not be suitable.*

From the responses provided by the participants, it is evident that they do have a good market within the community, before they even think of expanding on the market. Despite providing for their own households, the participants indicated that they do sell their produce, obviously to get some form of income. As indicated earlier in this chapter, it is true that most rural dwellers have mixed sources of income, from the social welfare grant, to selling their agricultural produce. One of the participants even indicated that he sells his livestock so that he is able to send his children to school. It is also indicative from the responses, that agricultural activities improve the quality of life of the rural people, when they are able to sell their produce and then can provide for other family needs. The fact is that most of the rural people are dependent of farming activities for their sustainable livelihoods. This therefore highlights the need for boosting agricultural production, which might also improve the GDP, when most of the farmers are able to sell their produce to bigger markets (Aliber & Hall, 2012).

One point that came out strongly from the participants is the lack of access to markets, which often hinder their productivity, when they cannot sell their products to competitive markets. Instead, they are forced to sell their produce at cheaper rates, to the local communities which do not have the capital to buy the produce in large quantities, but rather purchase a few products just for family consumption. It has been noted that 80% of the food consumed in most of the developing countries is produced by smallholder farmers (WFP, 2012; IFAD,

2013). This indicates just how much smallholder farmers are contributing to poverty alleviation, as well as food security. As most of the rural people are employed in smallholding farming, this means the communities also get income to spend on locally produced goods, thereby also accelerating economic development (IFAD, 2013). In this view, the role of smallholding farming in economic development is undeniable. This indicates that agriculture is still central to African economies and has proven to be essential for poverty reduction (Agholor & Obi, 2013).

In summarising the essence of smallholder farmers in economic development, Tshuma (2014) highlighted poverty alleviation, contribution towards rural income, creation of employment, backward and forward linkages (growth of related business), as well as the distribution of farming capital, whereby land ownership becomes decentralised and thus, encourages the production of equitable economic opportunities for the rural poor. Overall, it is a fact that rural farming contributes towards food security, which the World Food Summit held in Rome in 1996, highlighted that “food security exists when all people, at all times, have physical and economic access to sufficient, safe, nutritious food to meet their dietary needs and food preferences for an active lifestyle” (du Toit 2011:3).

#### **4.4.4 Ownership of agricultural assets**

Agricultural implements are important for productivity. In this view, the research also sought to establish the kinds of implements owned by the farmers. In this regard, the participants provided the following responses:

*Participant 1: I have informal broiler structure, equipment and utensils.*

*Participant 2: I have 4 tractors, 2 bakkies and all sugarcane-farming implements, which were also funded by IDFC.*

*Participant 3: I have 300 m<sup>2</sup> of irrigation because they are closer to Inanda Dam and small implements used for planting and harvesting. No tractor.*

*Participant 4: Tractors, planters, delivery van and irrigation. All was funded through borrowing from IDFC*

*Participant 5: We have 4 ha dragline irrigation donated by the municipality and farming implements to plant vegetables. Tractor is leased to DARD during planting and land preparation.*

*Participant 6: We do not have proper implements. We only have home implements like spades, forks; plow (igeja lokulima, infologo and isipedi). We normally use the conservative ways of planting, the one we grew up doing and inherited from our fathers (ancestors).*

The participants' responses indicate some of the challenges faced by smallholder farmers, that of lack of the necessary tools to enhance their productivity. The aspect of challenges will thus be dealt with, in the sections that follow.

#### **4.5 Reasons behind the farmers' failure**

##### **4.5.1 Lack of access to information or training on sustainable agricultural practices**

An important question asked by the researcher was whether the smallholder farmers were aware that agriculture depends on the natural resources and, if not practised properly, it can deplete the soils and destroy their livelihoods. The question further probed them that if they knew about, what sustainable agricultural practices do they know of, and if they practiced any of those. In answering these questions, the participants noted:

*Participant 1: I am not aware, I only know that my father was doing it to support the family and not aware of farming practices. I have been doing this operation for years, with no problems. Those things are expensive.*

*Participant 2: Yes, cane growers told us that every two years; we need to rest at least 10% of land and every five years, replant sugarcane after resting the soil for 2 months. This is to prevent any soil depletion.*

*Participant 3: We were told of rotating the crop so that soil can have nutrient and can get higher yield. We were also told not to use too much chemicals on vegetables, as it causes diseases for human beings. We thought that planting vegetable and putting manure is good for soil, but never thought repeating one crop throughout the year is not a good practice.*

*Participant 4: We were only told about rotating the crop so that soil can have nutrient and can get higher yield (isivuno esiningi). Then I advised my colleagues to using manure from their chicken on their garden. No formal training or education on sustainable agriculture was given. We just know which vegetable to plant during the year, i.e. maize during spring, butternut in summer, cabbage in autumn.*

*Participant 5: We are not aware, we only do it to support the family and not aware of farming practices. During visits by officials, information is shared with them, but no formal training is done. The extension officer only shares information about what is happening in the industry, but no formal training. Training would be provided to the minimum of 12 people, otherwise no training.*

*Participant 6: Cane growers always update us on sustainable agriculture, especially on using soil wisely, so that future generation can also be able to use the soil. Recently, we were advised of intercrop planting vegetable and soya bean, to make sure that the soil remains with nutritious. Our extension officer, Ms Zandile, did indicate that the training would be provided during the course of the year, in 2019.*

Azman, D'Silva, Samah, Man and Shaffril (2012) indicate that sustainable agriculture is important for three main reasons: for social responsibility purposes, to ensure environmental quality, as well as economic efficiency. In this view, Kleemann (2013) argues that sustainable agriculture is achieved when food security is ensured through the production of enough food. Smallholder farmers also contribute to negative environmental impact like soil degradation and overgrazing (Musvota et al, 2015). Unsurprisingly, some of the participants for this study confessed ignorance, in as far as land conservation is concerned. Most of them indicated that their concern is food production, in order to feed their families, while sustainable agricultural practices was something of little concern to them, with one participant noting that "I have been doing this operation for years, with no problems. Those things are expensive". In the same way, the fact that the participants indicated the lack of access to necessary information in this regard, is also a major concern. It implies that those who are mandated to help the smallholder farmers to be knowledgeable about sustainable agriculture are not doing justice to them, instead, they leave them to engage in unsustainable agricultural practices. In view of this, it was also important to establish if the smallholder

farmers knew about any relevant professional bodies which could provide them with such relevant information on sustainable agriculture.

#### **4.5.2 Non- membership with relevant organisations**

The third objective of this study sought to establish what could be done to improve the smallholder farmers' agricultural practices, to enable them to be sustainable and effective in their practices. Thus, the question on membership sought to establish if the farmers had subscribed to any relevant organisations like, for instance, the South African Poultry Association, where farmers can learn about keeping poultry, the market trends, as well as managing poultry diseases. In responding to this, the following responses emerged from the participants:

*Participant 1: No, I only know that I am registered at DARD's databases.*

*Participant 2: I belong to the Cane Growers Association*

*Participant 3: Not yet, but I am aware of the South African Poultry Association, Pork Association*

*Participant 4: We don't belong to any farmers organisation, but we are registered with eThekweni Municipality and DARD's data bases*

*Participant 5: We don't belong to any farmers organisation, but we are registered at DARD's data bases. We are also aware of Auctioneers, where they sometimes sell their livestock.*

From the researcher's point of view, the responses from the participants imply that with regards to their agricultural activities, they just engage in the activities without proper education or guidance of some sort. To make matters worse, most of them indicated that they received no formal training or education in the field of agriculture. This then goes to the officials who are responsible for ensuring that these farmers are given the necessary tools and knowledge that they need to enhance their agricultural productivity. On that note, another related question sought to understand the participants' knowledge and availability of

agriculture extension officers, that is, the people who are supposed to guide the farmers by giving them the necessary knowledge and skills in this regard.

#### **4.5.3 Ineffectiveness of agriculture extension services**

In responding to this question, the farmers noted the following:

*Participant 1: We have an Extension Officer from DARD, who assists me with delivery of dust or shaving for broilers. I also invite him when there is workshop for farmers in the province. Otherwise it is only the visit to mark the register, not providing service.*

*Participant 2: We receive extension services from Cane Growers' Association. It is mainly advisory on market outlook and way on how to manage cost. IDFC does have post investment monitoring team who regularly visit. Initially I thought they would give business support, but there is lack of support from the bank, in terms of business support / performance. They only call me when I miss the instalment, otherwise no business support. They have a poor service, when I want to finance for my ageing equipment, they treat me like a new client with no respect and for so many documents, of which some of them they already have. The understanding of sugarcane by some of Ithala Officials results in delays in providing proper client service*

*Participant 3: We do receive extension services from DARD, from Ms Zandile and from Ethekwini, Mr Smith. Services include monitoring and advice, production planning and training at high level; and donation of planting inputs.*

*Participant 4: We do receive extension services from DARD, Mr Komani only comes to give us vaccination for animal and donation of planting inputs. He is only doing his job of coming and marking the register.*

*Participant 5: The Extension Officer from DARD, but I am not happy with his service as he only comes to mark the register (He showed the researcher manure that he dumped and they are not using, and some blocks to build formal piggery structure. The blocks are not even half of the required to complete the structure).*

*Participant 6: Ithala also send their post investment monitoring team to visit only when we have missed the instalment or when there will be increase in interest rate. We feel the officials do not understand the farming and sometimes request information from us. The loan takes too long to be approved, which results in delaying of planting and change of business model.*

The responses presented above indicate that the farmers are not satisfied with the services which they receive from the relevant officials. In contrast to the responses above, the researcher implored some officials, as to what exactly their roles and involvement in the smallholder farmers' activities. To this effect, the officials noted the following responses:

*Participant 7: I guess my role as Ithala official is to make sure farmers make informed decisions when they come to request funding at Ithala. Ithala Development finance fund small-scale farmers around KZN to purchase farms, production inputs and operational capital.*

*Participant 8: I am the link between the smallholder farmers and our department. I give advices to them to help them grow. The mandate of the organization I work for is to drive KNZ's economic growth. The organization gives advisory support to farmers and finance related support. Furthermore, we assist the clients with grant funding application from institutions such as ADA. The organization has also helped in rural jobs creation through the agri-sector, as it is one industry that creates most of rural jobs.*

*Participant 9: The municipality assists by providing training to community gardeners and emerging farmers. Training includes how to utilise land properly for agriculture. The municipality also provides seedling, manure, fertiliser, planting implements when funds are available. eThekwini is the custodian of project, it provides training to smallholders farmers in supporting DARD. The strange thing is that DARD officials just leave everything to them.*

*Participant 10: We offer them business advisory and finance related support. Advisory and extension services include veterinary services, soil conservation and funding through grant.*

In comparing the farmers' and the officials' responses, it is possible to conclude that the officials simply provide 'lip service' and thus fail to 'walk the talk'. What the officials claim they do, the farmers indicated that they do not receive much help from the officials, except when it is perhaps financial matters which benefit them (the officials) as organisations. The participants clearly indicated lack of agricultural information centres in their areas, meaning that even if they are interested in accessing information about agricultural sustainability, it is very difficult for them to do, due to lack of access. In this regard, this is what the farmers had to say:

*Participant 3: Other than extension service, there is no information centre.*

*Participant 4: Other than extension officers and meetings, we do not receive any information centre.*

To the officials, the researcher posed a question as to how they communicate with the smallholder farmers in the province, and whether the communication is effective. To this end, the officials responded:

*Participant 7: As for now, I do not think Ithala has effective communication with their farmers, other than request update on their performance. To me, it is for admin purposes not to track performance and find the way to develop the emerging farmers.*

*Participant 8: Smallholder farmers are structured into associations and through those associations, we communicate with them, even those farming individually are visited regularly by us as advisors*

*Participant 9: Smallholder farmers are structured into farmers' associations, each ward in the municipality appoints a chairperson. They meet once a month and there is a representative from the eThekweni Municipality*

*Participant 10: The agriculture industry has numerous structures which act as support for each enterpriser, i.e sugarcane has SACANE Growers, piggeries have SAPPO and Poultry has SAPA, over and above these, there is extension services by the Department of Agriculture, it is through these mediums one can have effective*

*communication with the farmers, either with regards to prices outlook, diseases outbreak, new laws introduced, since they have direct access to the farmers.*

In as much as one official pointed to a number of organisations which the farmers should have access to, the question of access, particularly considering the location of the smallholder farmers, is still questionable. The organisations described above could make efforts that they are visible to all the farmers, especially those located in the rural areas. The organisations could have satellite offices closer to the farmers, or on scheduled times, they could visit the farmers and provide them with relevant information to enhance their agricultural productivity.

As evidenced above, agricultural sustainability is knowledge intensive, and can be “expensive”, as alluded to by one of the participants. In view of this, the smallholder farmers, who are often resources poor, need training and support in this regard, to ensure they remain productive, competitive in the market and essentially, to safeguard against the depletion of natural resources. Unfortunately, this is not happening with smallholder farmers in the KZN, especially eThekweni District, as they clearly stated that they receive minimum support and, in some cases, not at all.

Akpalu’s (2013) study indicated that South Africa has large numbers of extension officers (an average of 1;487 farmers). Akpalu further stresses the important role of these officers in agricultural development, arguing that they are the liaison personnel between the farmers and the researchers, they are knowledgeable about the needs of the farmers, more than the researchers, because they are closer to the farmers and constantly in touch with them. The extension officers’ role is then to inform the researchers about the status quo and needs of the farmers. However, Akpalu (2013) also established that in South Africa, the quality of support given by extension officers is poor and low, as the officers are not supervised, while at the same time they have low morale because of lack of incentives for good performance. In contrast to Akpalu’s findings, Aliber and Hall (2011) noted that the reason for the poor access to extension services by smallholder farmers is because South Africa has only a third of the needed number of officers to meet the country’s developmental goal. In the same way, Aliber and Hall pointed that 80% of the extension officers lack the necessary and adequate training in the technical, as well as the farm management skills which they are ought to transfer to the smallholder farmers. This was also raised by the officials from the eThekweni

Municipality, that the extension officers are highly qualified but they lack the experience and passion to assist the smallholder farmers. This therefore signals a huge problem, because, even if the officers were available, if they lack the necessary skills, then they obviously have got nothing to offer to the farmers. This also calls for the need for the government to invest in sustainable agriculture, which has been successful in other countries like Slovakia (Palsova, et al, 2014).

#### **4.5.4 Challenges related to agricultural productivity**

The issue of challenges faced by the smallholder farmers is the crux of this study, which to establish the challenges being faced by smallholder farmers in the KZN region. In responding to the question in this regard, the farmers had many issues to talk about:

*Participant 1: The major one is access to market, feeding costs are high or expensive. No proper broiler structure; compliance measures are expensive, small land for expansion to bigger structures, No delivery vehicle, No knowledge about funding.*

*Participant 2: Lack or access to market has been my major challenge, I wanted long to grow my operation, but I am also limited due to insufficient land to build bigger structures*

*Participant 3: High costs of production, import of sugar, fluctuation of RV price, drought and diseases. The drought was bad during 2015 to 2016 period and resulted in lower yield achieved. The only thing to do, as a farmer is to minimise costs, which includes lower worker, and sometimes as bank to suspend payment.*

*Participant 4: Poor training and lack of management skills on our side; lack of business acumen to run a profitable business or farming; no farming implement and equipment; small land for expansion; no delivery vehicle; and also drought. The lack of information and training on how to run farming has direct negative impact on us not pursuing profitable business. The lack of knowledge has made outside commercial farmers with equipment to come to our area, cutting grass, bail them; and later sell the same grass to us at high cost.*

*Participant 5: My concern regards the less skilled extension officer who does not intend to grow us to be commercial farmers, instead, he just visits us to donate and*

warn us of any disaster expected. Feeding costs, as I am only breeding for now. I am spending R8000 monthly on feed from Epol and Assegai Feed, no formal piggery operation; no proper farming implement like tractor; small land for expansion, no delivery vehicle, theft in the area caused by unemployment (He mentioned the case where 40 goats were stolen at once), No knowledge about funding. The challenges, especially lack of support from DARD, would not grow my operation.

*Participant 6: The challenges hinder our progress, sometimes we lose our entire crop and make a living to support our families. If it was not for farming inputs donation from DARD, our project would have closed. I feel that both IDFC and DARD do not support us fully and if the support is provided especially market, our business will be profitable.*

Another question related to this was whether they have experienced natural disasters, to which they concurred:

*Participant 2: Outbreak of bird flu and listeria affected our sales*

*Participant 4: Drought in 2015/16, which resulted in us planting lower yield which affected the bottom line of the business*

*Participant 5: Flooding once destroyed our entire crops and drought in 2015/16, which forced us to plant 2 ha*

The same question was also posed on to the officials, to establish if they were aware of the challenges facing the smallholder farmers. Indeed, they highlighted several challenges, as indicated below:

*Participant 7: Rural communities are facing serious challenges such as lack of access to finance, lack of agriculture extension support, no market information, which leads to rural farmers continue farming with enterprises that are not viable. Climate change and diseases outbreak, no access to formal market, Cell phone farmers syndrome that is increasing daily (“wanna be farmers” who cannot operate from actual farms, but from their cell phones), untested agribusiness models that are promised to farmers to make farming easy and untidy. These models are not tested or*

*researched, and no commercial farmers are using them, yet young aspiring farmers who believe farming must be easy are falling for the trap and this lead to very high failure rate amongst modern young famers. These untested models, I believe, are being sourced from countries which are successful, but failed in South Africa because of many factors including climate change and funding structures; and involvement of public and private sectors.*

*Participant 8: Level of education is a big challenge; the age also, as mostly old people are practicing agriculture. The opportunities are that advisors are there to help them, as well as well as funding is always there for them.*

*Participant 9: There is a lot of financial support in a form of grants and loans which are specifically meant for small scale farmers. The major challenges are market support, there are lots of entry barriers in some industry and institutional support in terms of mentorship.*

*Participant 10: The same challenges. However, on a different perspective, I would like to say the following: For me, small scale farmers or farmers in rural areas have been practising sustainable agriculture for ages. For example, the farmers in rural areas are hardly using commercial fertilisers, They don't farm with commercial technologies that have negative impact on their natural resources, They have been farming on the same piece of land that their grand-grandparent farmed in and they still produce sustainably.*

## **4.6 Measures to improve the farmers' participation in smallholder agriculture**

### **4.6.1 Agricultural sustainability support from the officials**

Having identified the challenges hindering their agricultural sustainability, the next obvious question was, what measures do they (the farmers themselves) have in place, to try and mitigate some of the challenges. To this effect, the participants noted the following:

*Participant 1: None, but I promise to read more on the mitigating measures to remain productive, like waste management and biosecurity.*

*Participant 2: Our soil is treated every two years and every five years. Intercropping will be applied as mitigating factor*

*Participant 3: We have waste management plan and biosecurity measures in the farm, making sure that we protect our dam and biosecurity to prevent diseases in our farm*

*Participant 5: I remember when Samantha advised us about planting beans if we suspect soil infertility.*

*Participant 6: We complained of small land to plant profitable beans and then Sindi did not respond.*

The researcher also asked the officials who participated in the study, if they understood the concept of agricultural sustainability and if they thought it was important. To this end, they argued:

*Participant 7: My own understanding is sustainable agriculture is a farming technique/ method that we can use to produce food for present generation without compromising ability of future generation to meet their own needs. Yes, it is very important. The use of irrigation to save water and crop rotation to keep the soil fertile are amongst thing to look for.*

*Participant 8: It is the ability of the industry to produce food in a long term by using the scarce available production resources effectively and preserving (i.e. soil, water). It is very important because these resources are precious and essential for long term productivity.*

*Participant 9: Yes, it should be practiced, eThekweni believes in giving smallholders manure and discouraging the use of fertiliser and chemical that destroy soil fertility.*

*Participant 10: Sustainable agriculture is necessary if we want next generation to be able to survive on the same scarce natural resources we have. Yes, it should be practiced, farming is business and in business, you love to make profit to be sustainable*

Having acknowledged the importance of agricultural sustainability, the officials were further probed as to what roles do they play in the development and dissemination of sustainable agricultural practices. Their responses were as follows:

*Participant 7: Currently, as an institution, we do not play any particular role in this regard.*

*Participant 8: Advising farmers, help them get funding and let them know what is new in the market to better their production*

*Participant 9: eThekwini provides training twice a week, both theory and practical in 7 hubs available in the districts: Inchnga, Newlands East, Umbumbulu, Hambanathi, Cliffdale, Northdale and Marianridge.*

*Participant 10: I advise farmers on their ethical practices that preserve our scarce resources.*

Based on what the farmers said regarding the lack of access to information or training on agricultural sustainability, a follow-up question was also posed onto the officials, enquiring from them, what kind of information or training about sustainable agricultural practices, that they provided to the smallholder farmers. In response to this, the officials noted the following:

*Participant 7: Currently, Ithala does not have any business support that offers help to emerging farmers, we are relying on other institutional support such as the Department of Agriculture.*

*Participant 8: Our aim is financing sustainable businesses. Therefore, we ensure that we advise clients to obtain off take agreement prior to financing them, to ensure they have long term market, we also ensure long term land access (lease agreement of acquisition) as this is a primary requirement for sustainable agribusiness*

*Participant 9: We have the economists in our organization, they help farmers to see their products marketed and getting more profit out of them. We also advise them to use animal waste in their garden.*

*Participant 10: eThekwini provides two types of training, i.e. Bio-intensive and Perm Culture, both which assist in making sure that root grows well, in fertile soil, while in the process, saving water.*

Despite the efforts made by the officials to help the farmers, seemingly, their efforts are far from being adequate. Another thing that was observed was that these officials claim to offer the help they highlighted above, which contradicts to what the farmers had alluded to, and in reality, the situation on the ground does not show any evidence of their claims. This confirms what Hall and Aliber (2010; 2012) stated, that the smallholder farmers have not received the attention that they deserved, since the dawn of democracy in 1994. Likewise, despite the

many policy interventions and programmes, very little progress has been witnessed by smallholder farmers (Hall & Aliber, 2012; Sikwela & Mushunje 2013).

Upon asking the officials what measures they had in place to help smallholder farmers deal with the challenges identified above, they indicated the following:

*Participant 7: We provide finance, we do due diligence to make sure compliance issues are addressed and, we try to help farmers to farm according norms and standards.*

*Participant 8: Training, funding, advices, etc. Funding in terms of supplying them with vaccination and farming inputs.*

*Participant 9: We provide training, sourcing of market for their produce. We also assist with planting inputs when the budget is available.*

*Participant 10: There are programmes such as RASET, which are meant to provide market support for small and substantial scale farmers.*

The sustainable livelihoods framework perspective, as a developmental tool, it helps us to describe, analyse and understand the main factors influencing the livelihoods of people, particularly the poor people. For Scoones (2009:5), a livelihood refers to “how different people at different places live, how do people make a living, what are the forces at work that allow people to have access to resources, what capabilities they have to access the resources and what activities they do to pursue a living”. Chambers and Conway (1991:6) then present sustainable livelihoods as “a livelihood that comprises the capabilities, assets (stores, resources, claims and access) and activities required for a means of living”. The point that the researcher is bringing to the fore is that the framework thus highlights the fact that if development is aimed at poverty reduction, it should focus on certain things, in order to sustain the livelihoods of the people. The main tenet of the framework is that development should focus on the people, meaning that we should focus on what is more important for the poor people, their differentiated cultures, as well as how this influences the way they appreciate and understand their livelihoods. As indicated in the literature review chapter, another important issue in this regard is that the people themselves have to be the key agents in identifying what is important for their livelihoods, as they know their problems, they know what is important for them, hence, they have to be listened to as they identify their priorities (Scoones, 2009).

In the context of this study, it is the smallholder farmers who are supposed to identify the challenges that they encounter in their efforts to make sustainable livelihoods. The role of the external stakeholders that the financial institutions that provide resources is to be process facilitators, who help these smallholder farmers to identify the priorities and assist them accordingly. In this view, partnership and participation become two very critical aspects in the development of the smallholder farmers. If the smallholder farmers actively participate in their developmental issues, they become empowered and not relying on outsiders to bail them out.

Looking at the framework, the vulnerability context represents the external environment in which the poor people live. This includes aspects such as the technological trends, the population trends, shocks such as inflation and natural disasters, as well as seasonality, which simply refers to how prices, employment opportunities and production often change with seasons. These factors affect the smallholder farmers' assets and therefore, their livelihoods' sustainability. In fact, the SL framework assumes that in order to gain a positive and sustainable livelihood, people need assets, different types of assets which they need to fulfil the livelihoods that they seek. These assets include the human capital, the social capital, the natural capital, the physical capital, as well as the financial capital, as illustrated in the SL framework in Chapter 2.

As far as the transforming structure and processes are concerned, these include the institutions, organisations and policies that influence or frame the livelihoods of the people and these are found at all levels – from the household to the international level. The importance of these processes and structures is that they determine the level of access that people can have to the different assets indicated above, hence, their importance cannot be overemphasised. Examples of processes include ownership rights and laws, international agreements, while structures include the different ministries, financial institutions that give credit to the farmers, as well as self-help groups in the local community.

Adekunle's (2014) research findings on the Nkonkobe village smallholder farmers in the Eastern Cape showed that the farmers lacked seed, as well as the knowledge as to how to obtain seed that is appropriate for their particular kind of agricultural land, lack of access to information as to where they can sell their produce, lack of financial support and extension services. In the same way, Bienabe and Vermeulen's (2011) study also revealed that many smallholder farmers in South Africa do not participate at market level due to poor roads and

communication infrastructure, most of them are only doing farming for subsistence purposes, they apply the traditional land tenure and they also have poor credit facilities. The participants for this study stressed the lack of delivery vans to transport their produce to the markets which are also located far from them.

Perhaps it is safe to argue that one of the reasons why smallholder farming is not succeeding in any way, despite the increased budget to support them, could be the wrong choices made by the government in terms of resource allocation, which is embroiled by the lack of extension officers, as well as using the wrong methodology to approach the cause. Despite the Department of Agriculture having more than enough staff members, this also affects the smallholder farmers in the sense that most of the government's income is channelled towards its employees' salaries, thereby disadvantaging other stakeholders like the emerging farmers (Adekunle, 2014). In fact, most of these emerging farmers tend to be invisible, that is, they are not even known by their relevant department which is supposed to cater for them. This makes it very difficult in terms of supporting them, hence, most of the support goes to the few known farmers, while most of them become neglected.

#### **4.6.2 The need for government support**

Asking the farmers on what they thought the government could do to bail them out the dire situations, the participants pointed the following issues:

*Participant 1: I request funding for my business expansion and land.*

*Participant 2: The government's extension services should provide proper training and support, not to visit them just to mark their register. We need training, feeds and building of proper structure.*

*Participant 3: We kindly request government to assist with market and advise on information that will affect our operation in time.*

*Participant 4: Government needs to think about farmers when implementing laws that will affect food security within the country. We request that they impose higher tariffs to control imports. The government should provide us with more land to plant pastures for our livestock and market to sell. We heard that black people are price taker in the market, leading us not to sell our livestock to auctions.*

*Participant 5: We would need proper market. The RASET programme, which was said would solve the issue of the market, has not yet been implemented. We need funding for expansion into eggs production in the form of grant because we are cooperatives and in poor community.*

From the officials' perspectives, upon asking them what could be done to support the smallholder farmers, this is what they had to say:

*Participant 7: Extension services from government is the key, funding institutions like Ithala need to establish business support unit and strong post investment support to their farmers.*

*Participant 8: Just a protection of resource like land and practices good agricultural practices, big business should buy from smallholder farmers to make them grow.*

*Participant 9: Roadshows are required to encourage the youth into agriculture and encourage them to form cooperatives or partnership. Adding value also produce by doing secondary agro-processing by canning spinach. The only challenge is lack of machinery and infrastructure, but theoretical training is available.*

*Participant 10: Agriculture needs more incubation and mentorship, because there is a lot of planning and market analysis needed for one to be able to run a successful agri-business. It is not only about the production, it's about the market trends i.e, SAFEX prices for certain commodities may result in farmers leaning more or moving away from those commodities farmers need to understand these. There are international trade laws that govern the agricultural industry which farmers needs workshopping on, mentorship and incubation of emerging farmers are essential for these.*

In the main, the argument presented here is that the farmers seem to lack the necessary support system needed for their sustainable development (Chikazunga & Paradza, 2012). This results in the smallholder farmers failing to utilise the opportunities presented to them by the South African government (Anyike, 2011). During the apartheid government, commercial farmers were heavily subsidised by the then government, to enhance the agricultural economy (Chikazunga & Paradza, 2012). After the democratic transition in 1994, the country experienced some de-regulation in the agricultural sector, as discussed in the above section,

while many subsidies were withdrawn. This negatively affected commercial farmers, with many of them withdrawing from the market participation (Bie'nabe & Vermuelen, 2011). In the same way, the currently emerging commercial farmers are finding it difficult to penetrate the agricultural economy, due to various reasons which range from low educational level, poor infrastructure, poor entrepreneurial skills, poor access to credit, as well as the lack of innovativeness needed for success in this kind of business (Bie'nabe & Vermuelen, 2011). Resultantly, many of the emerging farmers remain trapped in a cycle in which their farming activities are not yielding any positive rewards (Makhura et al. 2004).

Devaux et al. (2009) pointed that smallholder farmers experience lack of access to financial and physical resources, which then dwindle their potential to invest in farming activities that would boost or add value to their products. Cousins and Dubb (2013) also highlighted inadequacies in terms of business planning, poor credit and market facilities, lack of capital, poor infrastructure and irrigation, training and extension services, ineffective support, as well as poor post-settlement support, as the main challenges being faced by emerging farmers. Most of these challenges were also highlighted by the participants of this study.

Despite the increased budgets in the form of grants to support smallholder agriculture, it is evident that most of the households are not receiving the attention or support that they seek, mainly because the given support happens to be skewed towards some farmers but not others (Aliber & Hall, 2010). Many of the farmers located in the former homelands seem to have been forgotten in their poor quality communal lands, resulting in poor agricultural production (Adekunle, 2014). These and many farmers lack the livelihoods assets (physical, capital, social and financial) that they need for sustaining their agriculture. These assets include, among other things: adequate water supply, proper housing and land infrastructure, seeds, fertilisers, machinery, labour, credit facility, as well as access to markets. Sikwela and Mushunje (2013) noted that despite the supporting policies, as well as the increased fiscal budget to help smallholder farmers, the fact is that the farmers are increasingly being faced with grave production challenges, resulting in most of them becoming insolvent. This indicates that the support rendered to these emerging farmers is far from being successful. Sikwela and Mushunje (2013) noted that the state funding was inadequate, fragmented and poorly designed. Thus, most of the smallholder farmers failed to take off, mainly because of limited know-how, limited skills, as well as conflicts amongst group members who shared diverse interests.

Despite South Africa having made some great strides towards land redistribution, slow progress is still witnessed, evidenced by the majority of the Black communities being still landless. Again, as highlighted earlier, the willing buyer-willing seller model is not effective, as poor quality of land is being sold to the government at exorbitant prices. In addition, the grants given to the beneficiaries of the land reform programme is far from being adequate, which makes it very difficult for most of the farmers to take off on their own. The redistribution programme has also been blamed for focusing on a few elite Black farmers, while neglecting the poor majority (Taye, 2013). In this view, perhaps a lot still needs to be done before we celebrate the success of the land reform programme, let alone the role of smallholder farmers in the sustainability of rural livelihoods.

#### **4.7 Chapter summary**

This chapter has presented and critically analysed the findings of the study. Among other things, it emerged that the smallholder farmers rely on their farming activities to sustain their livelihoods, and they also regard that as their sources of income, in addition to other sources of income. In appreciating the role played by the government and its various institutions, the farmers still bemoan lack of adequate support. They highlighted several challenges which range from poor agricultural infrastructure, lack of funding, unknowledgeable extension officers who seem to be unmotivated due to lack of incentives for performance, as well as limited land to expand their agricultural activities. To this end, the farmers pleaded that the government intervenes at all levels, to try and mitigate some of the challenges which they highlighted, for them to be able to productively contribute to sustainable rural development. In view of this, the chapter that follows concludes the study by providing the conclusion, as well as the recommendations, based on the findings.

## **CHAPTER 5: CONCLUSIONS AND RECOMMENDATIONS**

### **5.1 Introduction**

This chapter concludes the study. Prior to that, it is important to reiterate why the study was undertaken in the first place. The study aimed at establishing the reasons for the failure of emerging farmers (smallholder farmers) in the KwaZulu-Natal Province. The qualitative approach to research was undertaken to answer the research questions, while data were analysed through identifying emerging themes from the collected data.

To reiterate on the whole study, the first chapter provided the overview of the study, highlighting the background to the study, the problem statement and rationale, the aims, objectives and research questions. Essentially, the significance of the study was clearly stated. Chapter 2 deliberated on the literature related to the study. The theoretical framework underpinning the study was also described, which is the sustainable livelihoods framework. Chapter 3 described the methodology underpinning the study. The research design was described alongside the research approach. The target population, sampling strategies, data collection tools, as well as the data analysis strategies, were also described in detail. The previous chapter presented and analysed the findings of the study, linking the findings to existing literature. The emerging themes were discussed in relation to previous studies. This chapter provides the conclusion to the study, the recommendations, based on the findings, as well as the areas for future research. On that note, the section that follows summarises the findings of the study, based on the objectives of the study.

### **5.2 Revisiting the objectives of the study**

This section summarises the study by presenting the main findings of the study, based on the objectives described in Chapter 1. The aim is to indicate how each and every objective was met.

#### **5.2.1 Objective 1: To establish the socio-economic status of the emerging farmers in KZN**

The findings of the study indicated that the smallholder farmers survive through a mixture of livelihoods strategies, from social grants, salaries, wages, pension funds, as well as income. The farmers also indicated that they rely on their farming as their source of income and food security. In terms of labour, most of them indicated that they do it for themselves, meaning

that the whole family participates in the agricultural activities and they regard that as their way of life except for a few who hire a few people to help in the fields or help with the rearing of piggery. The responses presented by the smallholder farmers clearly showed that agricultural activities can be a source of income for many rural families, evidenced in how some people are employed to work for the smallholder farmers, thus, helping in poverty alleviation, contribution towards rural income, as well as the creation of employment.

The responses from the farmers indicated that most of the respondents were allocated the land by the tribal chief (tribal authority apportionment), while a few others were funded by the IDFC to buy the land. The farmers indicated that out of the land which they own, most of them could not manage to cultivate all of it, for various reasons which include financial constraints and the lack of the necessary agricultural implements, except a few who had the resources to cultivate all the land. The fact that they did not manage to utilise the available land might indicate some challenges being faced, like lack of finance, seeds, fertilisers or other resources to fully utilise the land. On the question of whether they do agriculture for subsistence or for commercial purposes, the participants highlighted that they produce for their families, as well as for commercial purposes. One of the participants even indicated that he sells his livestock so that he is able to send his children to school.

### **5.2.2 Objective 2: To critically assess the reasons behind the failure of emerging farmers in KZN**

The participants of the study indicated the importance of having the necessary ‘tools of trade’ for them to maximise on efficiency and effectiveness, in terms of their agricultural production. Most of the farmers indicated that they do have the necessary agricultural assets, most of which were funded by IDFC. However, others indicated that they had small implements used for planting and harvesting. The scenario described by the farmers is not conducive for large scale farming, as it clearly shows shortage of the necessary resources for farming.

It was also quite concerning to realise that most of the farmers did not have access to information or training on sustainable agricultural practices. To make matters worse, some of them did not have knowledge about sustainable agricultural practices, while others, despite knowing about it, confessed ignorance in terms of implementing the practices. Some of the participants pointed that those things are expensive, while others did not have formal training

or education on sustainable agriculture. They indicated that they were not aware of it, but their main aim was to support their families and not being aware of farming practices. They indicated that the extension officer only shares information about what is happening in the industry, but does not give them formal training, while others indicated that they were told about the sustainable agricultural practices and were actually practising them. The lack of knowledge about sustainable agricultural practices leads to the depletion of natural resources.

Nonetheless, sustainable agriculture is important for three main reasons: for social responsibility purposes, to ensure environmental quality, as well as economic efficiency. Unsurprisingly, some of the participants for this study confessed ignorance, in as far as land conservation is concerned. Most of them indicated that their concern is food production, in order to feed their families, while sustainable agricultural practices was something of little concern to them. The fact that the participants indicated the lack of access to necessary information in this regard, is also a major concern. It implies that those who are mandated to help the smallholder farmers to be knowledgeable about sustainable agriculture are not doing justice to them, instead, they leave them to engage in unsustainable agricultural practices. The lack of knowledge in this regard can be attributed to the fact that most of the smallholder farmers did not belong to any professional bodies which could provide them with such relevant information on sustainable agriculture. Only a few indicated their membership to some relevant bodies.

One point that came out strongly from the participants is the lack of access to markets, which often hinder their productivity, when they cannot sell their products to competitive markets. Instead, they are forced to sell their produce at cheaper rates, to the local communities which do not have the capital to buy the produce in large quantities, but rather purchase a few products just for family consumption.

The farmers also pointed to poor training and lack of management skills, lack of business acumen to run a profitable business or farming, lack of farming implements and equipment, small land for expansion, shortage of delivery vehicle, as well as natural disasters like drought, as having direct negative impact on their businesses. One participant pointed that the lack of knowledge made outside commercial farmers with equipment to come to their area, they cut grass, bail them and later sell the same grass to the smallholder farmers at high costs. They also expressed dissatisfaction with the less skilled extension officer who just visits them

to donate and warn them of any disaster expected. One official indicated the challenges being faced by the smallholder farmers, such as lack of access to finance, lack of agriculture extension support, no market information, which leads to rural farmers continue farming with enterprises that are not viable. Climate change and diseases outbreak, no access to formal market, cell phone farmers syndrome that is increasing daily (“wanna be farmers” who cannot operate from actual farms, but from their cell phones), untested agribusiness models that are promised to farmers to make farming easy and untidy, were some of the issues indicated as hindering smallholder farming. Another official pointed to the level of education of the farmers as being a big challenge.

### **5.2.3 Objective 3: To suggest ways of improving the smallholder farmers’ participation in the agricultural sector**

It was indicated in the findings of the study, that agricultural sustainability is knowledge intensive, and can be “expensive”, as alluded to by one of the participants. In view of this, the smallholder farmers, who are often resources poor, highlighted that they needed training and support in this regard, to ensure they remain productive, competitive in the market and essentially, to safeguard against the depletion of natural resources. Essentially, the participants highlighted the importance of government support in enhancing the smallholder farmers’ effectiveness in agricultural activities. Among other things, the participants indicated that they request funding for their business expansion and land. They also indicated that the government’s extension services should provide proper training and support, not to visit them just to mark their register. They need training, feeds and building of proper structures. It was suggested that the government should assist with market and advise on information that will affect their operation in time, the government needs to think about farmers when implementing laws that will affect food security within the country and essentially, they participants also suggested that the government impose higher tariffs to control imports, provide them with more land to plant pastures for their livestock and market to sell. It was also noted that the RASET programme, which was meant to solve the issue of the market, had not yet been implemented.

The officials also indicated that extension services from government is the key, funding institutions like Ithala need to establish business support unit and strong post investment support to their farmers, they called for the need for roadshows to encourage the youth into

agriculture and encourage them to form cooperatives or partnership. One official clearly indicated that agriculture needs more incubation and mentorship, because there is a lot of planning and market analysis needed for one to be able to run a successful agri-business, arguing that it is not only about the production, it's about the market trends as well. It was noted that there are international trade laws that govern the agricultural industry, which farmers needs workshopping on, while mentorship and incubation of emerging farmers are essential.

Based on the findings of the study, as summarised above, the following recommendations are therefore made.

### **5.3 Recommendations**

One of the aims of the land redistribution programme is to ensure every citizen has access to land, implying the need increase the number of smallholder farmers. In view of this, and as implicated by the participants of this study, there is need to emphasise sustainable agricultural practices, to safeguard the depletion of natural resources. What this means is that the correct institutional environmental policies should be reinforced. The need for the smallholder farmers to practice organic farming, for instance, composts and green manure, cover crops, crop rotation, as well as organic amendments, to improve the quality of the soil, are all imperative.

Participants of this study pointed to a number of challenges hindering their agricultural progress. In the face of those challenges, there is need for the necessary support, to ensure that farmers have access to adequate agricultural assets like tractors, land and other important infrastructures. The government could also help in subsidising agricultural implements to curb the high costs incurred by the farmers. Essentially, relevant authorities or stakeholders like financing institutions should avail financial services to enable the farmers to finance their agricultural activities. Participants also mentioned the challenge of natural disasters like drought. In view of this, smallholder farmers can be encouraged to harvest water during the rainy season to use during the dry spells.

Essentially, the Department of Agriculture ought to invest in extension officers, who need adequate knowledge so that they will be able to transfer the knowledge to the farmers. The extension officers should be able to encourage farmers to register with relevant bodies from where they would get information related to their specific agricultural activities. In addition,

access to information should be improved, as one official argued that roadshows, workshops and mentorship programmes can be run to educate farmers on sustainable farming. Most of the farmers indicated that they lacked formal education in farming, but they rather practise the same things that they inherited from their forefathers. Education is very important, be it formal or informal. The smallholder farmers should be encouraged to engage in some short courses to enhance their agricultural skills.

On the part of the researcher, efforts will be made to influence relevant stakeholders like the financial institutions to offer financial aid to the farmers, the Department of Agriculture to play its part in helping to alleviate the challenges describes in this study. overall, the findings of this study thus aim to influence policy at local and national level. Having done that, the researcher would recommend that the identified stakeholders engage in a monitoring and evaluation programme, to assess the progress of the emerging farmers in this regard.

#### **5.4 Limitations of the study**

This study was limited to emerging farmers in the KZN province. This implies that the findings of the study cannot and should never be generalised in any similar contexts or situations. This is because the modes of operation, as well as the factors that affect their farming activities, might be different in other provinces.

#### **5.5 Areas for further research**

This study focused on the challenges being experienced by emerging farmers in agricultural production. The study can thus be extended to establish why the smallholder farmers are not progressing to become fully fledged commercial farmers. Again, the ongoing land redistribution programme can also be investigated, focusing on the effects of the programme on agricultural production. The reason for such a study is that some of the beneficiaries of the land reform programme are not fully utilising the land allocated to them. Another study would further investigate the criteria being used to allocate land to the beneficiaries of the land reform programme.

#### **5.6 Concluding remarks**

The findings of this study have indicated that the country's growing agricultural sector has the potential to contribute to rural development, economic growth, poverty reduction and reduction of unemployment levels. However, the potential of the smallholder farmers to fully participate in this sector still remains untapped, evidenced by the challenges being

encountered by the current farmers, one of them being the fact that they sell their produce to the informal market which has low market value. In order for the farmers to fully participate and yield high returns, the identified challenges need to be addressed. This calls for an all-stakeholder approach, to harness the potential of smallholder farmers and improve their efficiency and effectiveness.

### **5.7 Chapter summary**

This chapter concluded the study by highlighting the summary of the study, as well as the summary of findings, based on the objectives. based on the findings summarised, the recommendations were provided, together with possible areas for further research.

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## **Appendix 1: Interview guide for the emerging farmers**

1. What is your highest level of education completed?
2. How long have you been a farmer?
3. Other than farming, do you have other income paying job? If yes, what is your occupation?
4. Do you employ people for labour or use family members in your farm? Why?
5. How much total land do you own (in hectares?)
6. How did you acquire your land? E.g. Inherited, Tribal authority apportioned, applied to department of Land and borrow funding
7. How much agricultural land did you cultivate last season (in hectares?)
8. Did you sell any of the agricultural produce you cultivated last season? If yes, please quantify and where it was sold. If you didn't, what were the reasons?
9. Which agricultural assets do you own? E.g ploughs, tractors, harrows, etc.
10. Are you aware that agriculture depends on the natural resources and if not practised properly it can deplete the soils and destroy the way you live? If yes, what sustainable agricultural practices do you know of and which one do you practice yourself?
11. Have you ever received information or training about sustainable agricultural practices? If yes, who provided the training?
12. Are you a member of any organisation or farmers' group? If yes, which one?
13. What do you understand by integrated and diversified farming?
14. Are there any agriculture extension services in your area? If yes, which ones? If no, where do you receive the agriculture extension services?
15. Do you have any agricultural information centres where you get information about agriculture in your area? If yes, have you ever accessed information about sustainable agricultural practices?
16. What constraints/challenges do your household face relating to agricultural productivity? And how do these affect your livelihoods?
17. Have you ever been affected by any natural disaster in your household? If yes, indicate type of disaster.
18. What do you understand by agricultural sustainability? Do you think it is an important issue?
19. What measures do you take to mitigate against the impacts of soil infertility, droughts/floods (climate change effects) so that they remain productive?

20. What support do you think you need from the government, in order to farm sustainably?

**THANK YOU FOR YOUR PARTICIPATION!**

## **Appendix 2: Interview guide for the officials**

1. What is your role in smallholder farmers' activities?
2. What is the current condition of KZN agriculture sector?
3. In what ways have you/your organization been involved in KZN agriculture?
4. What key assets do you think smallholder farmers should have? How do you ensure that they have these, if you are involved in any?
5. What are the most important and fastest growing segments within agriculture? E.g. wine, sorghum, maize, etc.
6. What activities and businesses are necessary to support local agriculture?
7. Do you think the local agriculture sector is growing or failing? Why?
8. How do you communicate with the smallholder farmers in the province? Is the communication effective?
9. What do you think are the challenges and opportunities experienced by smallholder farmers in KZN?
10. How do you help them deal with these challenges?
11. What are the key ingredients to make local agriculture still more successful?
12. What kind of information or training about sustainable agricultural practices do you give to the smallholder farmers?
13. In your own opinion, would you say sustainable agriculture should be practiced? Why?
14. What do you understand by agricultural sustainability? Do you think it is an important issue?
15. What measures do you have in place to help the farmers mitigate against the impacts of soil infertility, droughts/floods (climate change effects) so that they remain productive?
16. What role do you play in the development and dissemination of sustainable agricultural practices?
17. What do you think are the main issues that affect agricultural growth in the community via-a-vis adoption of sustainable agricultural practices?
18. What support do you give the farmers, in order to farm sustainably?

**THANK YOU FOR YOUR PARTICIPATION!**

### **Appendix 3: Ethical Clearance Certificate**

## **Appendix 4: Gatekeepers' letter**

## Appendix 5: Informed Consent Letter

Informed Consent Letter 3C

**UNIVERSITY OF KWAZULU-NATAL  
GRADUATE SCHOOL OF BUSINESS AND LEADERSHIP**

**MBA Research Project  
Researcher: Siphamandla Khuzwayo  
Supervisor: Dr. X. Majola  
Research Office:**

Dear Respondent,

I, Siphamandla Khuzwayo, am a Master's student, at the Graduate School of Business and Leadership, of the University of KwaZulu-Natal. You are invited to participate in a research project entitled: **“ASSESSING THE CHALLENGES FACED BY EMERGING FARMERS IN KWAZULU-NATAL (KZN) PROVINCE”**.

Through your participation I hope to understand the challenges associated with emerging farmers in the KZN province. The results of the study are intended to contribute to improved agricultural practices in the province.

Your participation in this project is voluntary. You may refuse to participate or withdraw from the project at any time with no negative consequence. There will be no monetary gain from participating in this interview. Confidentiality and anonymity of records identifying you as a participant will be maintained by the Graduate School of Business and Leadership, UKZN.

If you have any questions or concerns about participating in this study, you may contact me or my supervisor at the numbers listed above.

The interview should take about 45 minutes to an hour. I hope you will take the time to participate.

Sincerely

Investigator's signature \_\_\_\_\_ Date \_\_\_\_\_

This page is to be retained by the participant