

1 **Making Waves: How a water-resources crisis**
2 **highlights social-ecological disconnects.**

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12 **Abstract:**

13 The sustainable management of water resources is required to avoid water scarcity
14 becoming widespread. This article explores the potential application of a social-
15 ecological framework, used predominantly in the fields of ecology and conservation,
16 as a tool to improve the sustainability and resilience of water resources. The “red-loop
17 green-loop” (RL-GL) model has previously been used to map both sustainable and
18 unsustainable social-ecological feedbacks between ecosystems and their
19 communities in countries such as Sweden and Jamaica. In this article, we demonstrate
20 the novel application of the RL-GL framework to water resources management using
21 the 2017/18 Cape Town water crisis as an example. We used the framework to
22 analyse the social-ecological dynamics of pre-crisis and planned contingency
23 scenarios.

24 We found that the water resources management system was almost solely reliant on
25 a single, non-ecosystem form of infrastructure, the provincial dam system. As a
26 prolonged drought impacted this key water resource, resilience to resource collapse
27 was shown to be low and a missing feedback between the water resource and the
28 Cape Town community was highlighted. The collapse of water resources (“Day Zero”)
29 was averted through a combination of government and community group led
30 measures, incorporating both local ecosystem (green-loop) and non-local ecosystem
31 (red-loop) forms of water resource management, and increased rainfall returning to
32 the area. Additional disaster management plans proposed by the municipality included
33 the tighter integration of red and green-loop water management approaches, which
34 acted to foster a stronger connection between the Cape Town community and their
35 water resources.

36 We advocate the wider development and application of the RL-GL model, theoretically
37 and empirically, to investigate missing feedbacks between water resources and their
38 communities.

39

40 **Keywords:** Water resources management, social-ecological, red-loop green-loop
41 model, water crisis, feedbacks.

42

43 1. A social-ecological framework for water resources management

44 The sustainable management of water resources, globally, is required to avoid water
45 scarcity becoming widespread. There are a number of human pressures (e.g.
46 urbanisation, intensive agriculture, over-abstraction, inefficient distribution and
47 exceptional demand) underpinning climate change, pollution and biodiversity loss that
48 contributes to water scarcity (Eslamain and Eslamain, 2017). The idea that
49 anthropogenic water systems can be resilient to the pressures of scarcity only through
50 economic decision-making (e.g. cost-benefit analysis), engineering and technology is
51 beginning to be undermined. Damming predictions (Boretti and Rosa, 2019) and real-
52 world crises on many of the world's continents seem to be increasing. We propose
53 that civic water resource management could benefit from the application of a recently
54 developed social-ecological framework, which highlights the importance of feedbacks
55 between humans and ecosystems (Cumming *et al.*, 2014; Hamann *et al.*, 2015; Blythe
56 *et al.*, 2017, Dajka *et al.*, 2020). This framework has not previously been applied within
57 the realm of water resources management and may prove a useful tool in planning for
58 better management and, ultimately, future resilience.

59 Social-ecological models have long been used in ecology and conservation research
60 with the aim of improving habitat management (Scheffer *et al.*, 2001). Cumming *et al.*

61 (2014) proposed the red-loop green-loop (RL-GL) model which classifies social-
62 ecological dynamics into red and green loops. These loops are based upon human
63 dependence on, and interactions with, the local ecosystem, in addition to the
64 sustainability of that ecosystem. Green-loop systems are defined by a sustainable
65 relationship between a human population (often lower density) and their local
66 ecosystem, such as a rural society practicing subsistence agriculture. Green-loop
67 systems are reliant on ecosystem goods and services derived from their local
68 ecosystem. Red-loop systems are characterised by the sustainable relationship
69 between a human population (often higher density) and the local/regional
70 socioeconomic system (often more metropolitan) they utilise to supply non-ecosystem
71 goods and services. However, both green and red-loop systems can drift into
72 unsustainable traps. Green traps are initiated by overconsumption and inadequate
73 productivity, which if left unchecked can lead to rural poverty and ecological
74 degradation which amplify each other, resulting in a green trap. At the other end of the
75 spectrum, red traps can occur through overconsumption and the failure to manage
76 ecological decline. Such ecological decline can progress unnoticed if the signal-
77 response chain between the ecosystem and society is masked (e.g. missing feedback
78 fostered by lack of ecological knowledge; Dajka *et al.*, 2020). Both traps can lead to
79 ecosystem and resource degradation if the traps are not addressed (Cumming *et al.*,
80 2014).

81 The RL-GL concept has been applied to a handful of national-level systems, including
82 Sweden (Cumming *et al.* 2014) and Jamaica (Dajka *et al.* 2020). Sweden experienced
83 a transition from green loop to red loop. For over 1000 years, the country had a low
84 human population based on majorly agrarian lifestyles and was classified as a green
85 loop system (Cumming *et al.* 2014). Accelerating population growth beginning in the

86 mid-18th century, triggered a transition towards a red loop system at the latter end of
87 the 19th century. Economic development, driven mostly by the industrial sector and
88 growing export markets, fuelled the transition from the 1870s. Then, from 1950, the
89 industrial and service sectors expanded whilst the agricultural sector remained largely
90 stagnant. Swedish agricultural employment subsequently declined from close to a
91 million in 1880 to less than 50,000 people in 2000. In a red loop system, disconnects
92 between people and local ecosystems (missing feedbacks) and resulting
93 environmental degradation are expected (Cumming et al. 2014). Great losses were
94 beginning to be recorded in Swedish grassland biodiversity and old-growth forests in
95 the 1950s. Further, overfishing in the Baltic Sea was recorded throughout the 1990s
96 and still is today. Swedish imports and exports increased sevenfold between 1975 and
97 2000, with unknown impacts on external ecological systems. Many of the country's
98 increased requirements were met by upscaling, with Sweden employing technological
99 advances and modern farming methods that aided in reducing local environmental
100 degradation whilst stabilising increased food production. Using this strategy, Sweden
101 managed to retain a sustainable red loop system and not drift into an unsustainable
102 red trap.

103 Jamaica on the other hand has moved through all RL-GL states (green loop, green
104 trap, red loop, red trap) since the first human settlement around the year 600 until
105 2017 (Dajka et al. 2020). Here too, missing feedbacks between people and the local
106 ecosystem were most detrimental to the Jamaican nearshore ecosystem. In contrast,
107 it appears that the previously upscaled exports of locally caught reef fish are largely
108 responsible for keeping Jamaica in a red trap scenario in recent years rather than a
109 red loop as was the case for Sweden. More commitment to ecological monitoring and

110 conservation appears to be the main difference between Jamaica's red trap state
111 (Dajka et al. 2020) and Sweden's red loop state (Cumming et al. 2014).
112 The RL-GL model has not been used, however, to map the state of a nation's water
113 resources, or to reveal any 'missing feedbacks' that may be driving management
114 practices that are detrimental to a local ecosystem's ecological sustainability. Social-
115 ecological approaches have only recently been seen as useful for water resources
116 planning and forecasting (e.g. Jaeger *et al.*, 2017), with the aim of improving the
117 sustainable management of these systems. In this article we look to demonstrate
118 application of the RL-GL model to analyse a water resources management system.
119 We use the RL-GL model to identify functioning and missing social-ecological
120 feedbacks across some specific management scenarios (real and hypothetical) of a
121 single water resources system. As an example, we capture the water resources
122 management of South Africa's Western Cape capital - Cape Town - and the water
123 crisis of 2017/18. Using the RL-GL model enables us to provide an analysis of the
124 human-environment relationships which defined the course of the Cape Town water
125 crisis and highlight some of the dynamics which helped foster greater sustainability
126 (Laurent, 2015).

127

128 **2. An application of the red-loop green-loop model**

129 The RL-GL framework provides a unique social-ecological lens through which to view
130 the management of Cape Town's water resources management, preceding the
131 implementation of emergency measures by the City of Cape Town (CCT) local
132 municipal authority. However, first it is necessary to first provide some wider context
133 of water resources management across South Africa and the Western Cape. The post-
134 apartheid government of South Africa have introduced a number of policies designed

135 to improve access to, and availability of, potable water, such as the Water Services
136 Act (1997), and the Free Basic Water policy (2001). However, access to clean water,
137 although greatly improved, remains a persistent problem (Muller, 2008). South Africa
138 is a water scarce country (Cole *et al.*, 2017), and a series of droughts in recent years
139 have put pressure on the limited water resources. As a result, water scarcity became
140 the focus of a major crisis, particularly for the Western Cape Water Supply System
141 (WCWSS) which fed the province's major city, Cape Town.

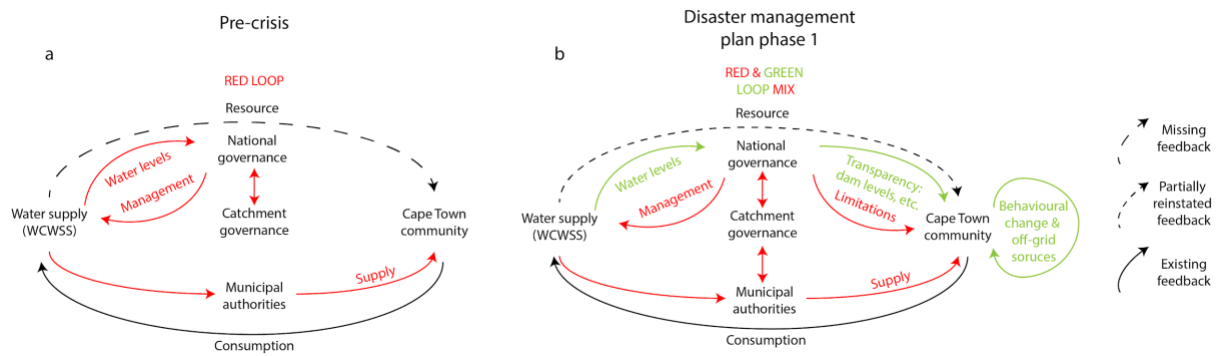
142 In May 2017, water storage capacity at the WCWSS dams had reduced to around
143 20% (Climate Systems Analysis Group, 2019). This shortage resulted in the CCT
144 triggering a disaster management plan that imposed a per capita limit of 50 litres (L)
145 of water per day (Enqvist and Ziervogel, 2019; GreenCape, 2018), and warned that
146 should storage drop below 13.5%, these limits would be reduced to 25 L (Enqvist and
147 Ziervogel, 2019; GreenCape, 2018). This final action would be implemented by
148 switching off municipal water supplies and installing communal distribution points to
149 enable water rationing; an event that colloquially became known as "Day Zero" (CCT,
150 2017).

151 Several reasons have been identified for the water shortages that led to the crisis
152 (Muller, 2017), notably: (i) a prolonged period of reduced rainfall; (ii) increased demand
153 associated with population growth; (iii) the poor management of, and investment in,
154 water management infrastructure; (iv) overallocation of water resources to the
155 agricultural sector; (v) the overreliance on surface water; and, (vi) the spread of water
156 intensive invasive vegetation (Parks *et al.*, 2019; Taing *et al.*, 2019). Similarly, there
157 were a number of events and interventions that helped to mitigate the severity of the
158 crisis: (i) a return of normal rainfall rates; (ii) supply augmentation via diversifying

159 water-sources (e.g. increasing groundwater supply capacity); and, (iii) improvements
160 in water recycling and distribution efficiency (Parks *et al.*, 2019). These factors should
161 be understood when considering the RL-GL concept application in South Africa.

162 Pre-crisis, the CCT municipality operated the distribution of clean water for public use
163 (Fig. 1), sourced mainly from the WCWSS and as a quota allocated to the municipality
164 by the nationwide Department of Water and Sanitation (Enqvist and Ziervogel, 2018).
165 This consisted of typical piped infrastructure, engineered to distribute the water
166 between the different consumer types (e.g. domestic or agricultural users) (Muller,
167 2019). Water levels in the WCWSS were monitored at the provincial level, though
168 there was limited transparency between the national/provincial level and the municipal
169 level, as well as the public. We argue that this lack of transparency produced a missing
170 feedback (Fig. 1a). Within the predominantly red-loop relationship between water
171 resources and the Cape Town community, a lack of transparency on the state of
172 resources, and therefore, a lack of consumer behavioural change, further reinforced
173 the disconnect and intensified resource depletion. Alongside this, the one-way, top-
174 down governance of water supply management (e.g. the limited scope for negotiation
175 between the CCT and the Department of Water and Sanitation for water allocation
176 quotas) further reinforced the missing feedback between provincial catchment supply
177 management and municipal authority quotas (Fig. 1a). Furthermore, reliance on a
178 single supply water supply (*i.e.* the WCWSS) limits the options for water resource
179 management to address drought resilience (Muller, 2018).

180



181

182 Figure 1. Outline of the management of the City of Cape Town's water resources, (a)
 183 prior to 2017 (*i.e.* pre-crisis), and (b) during phase 1 of the disaster management plan
 184 response to 2017-2018 crisis; WCWSS = Western Cape Water Supply System.

185

186 In late 2017, Phase I of the CCT's disaster management plan was implemented (Fig.
 187 1b). This involved imposing water consumption restrictions to 87 L per capita per day
 188 (Taing *et al.* 2019) as well as the following additional actions: (i) improving the
 189 efficiency of the piped water distribution system; (ii) increasing the stepped pricing
 190 structure of additional water beyond the basic household allowance of 6000 L per
 191 month; and, (iii) organising and coordinating an Information, Education and
 192 Communication (IEC) campaign to improve the reporting and transparency of water-
 193 use and supply-based data to the municipal authorities and the public. These
 194 measures aimed to reduce water use by: (i) reducing leakage; (ii) changing
 195 consumption behaviour by making 'luxury' water costly, and; (iii) informing the public
 196 about the state of water resources. The IEC campaign specifically fostered a partial
 197 feedback between the consumer and the state of the water resources (Fig. 1b),
 198 bringing the interaction closer to a green-loop dynamic. Using data transparency such
 199 as 'The Big Six Monitor' (Climate System Analysis Group, 2019) and educational
 200 campaigns like "If it's yellow, let it mellow..." (Booyesen *et al.*, 2019). There was a
 201 resulting improvement in water use from these actions, with Booyesen *et al.* (2019)

202 reporting a per day household decrease of 48% throughout the duration of the crisis
203 (2015-2018). Alongside this campaign to reduce water consumption and waste, the
204 CCT also pursued supply augmentation policies (notably the large-scale abstraction
205 of groundwater from three regional aquifers, and the expansion of both desalination
206 and wastewater treatment capacity), further improving diversification and resilience
207 (Taing *et al.*, 2019). This suite of measures adopted by the CCT demonstrates a
208 successfully implemented combined red-loop green-loop approach to resource
209 management.

210 The added transparency, and the consequent partially reinstated feedback, led many
211 of the Cape Town community to change their behaviour. Some of these changes were
212 positive, e.g. the steep reduction in personal water usage, and the supply
213 augmentation policies adopted by CCT (notably the large-scale abstraction of
214 groundwater from three regional aquifers, and the expansion of both desalination and
215 wastewater treatment capacity) (Taing *et al.*, 2019). Other behavioural changes were
216 also observed, notably a reported increase of people utilising new ‘off-grid’ sources of
217 water, such as personal boreholes and small springs and streams to supplement or
218 replace their local supply. Although these changes are not necessarily socially or
219 environmentally positive (e.g. individuals having to travel to collect potentially unsafe
220 water, or the use of unregulated boreholes), what they represent is a shift from what
221 Simpson *et al.* (2020) describe as “dam mentality”. That is, people reassessing their
222 perceptions of water security, and sought to look beyond the state supplied resource
223 and its highly engineered network. It is argued that a transition away from a dam
224 mentality coincided with behavioural change, partially reinstating the missing feedback
225 between consumers (*i.e.* the Western Cape community) and the WCWSS (Fig. 1b).
226 This behavioural change may also have initiated a new green-loop through the use of

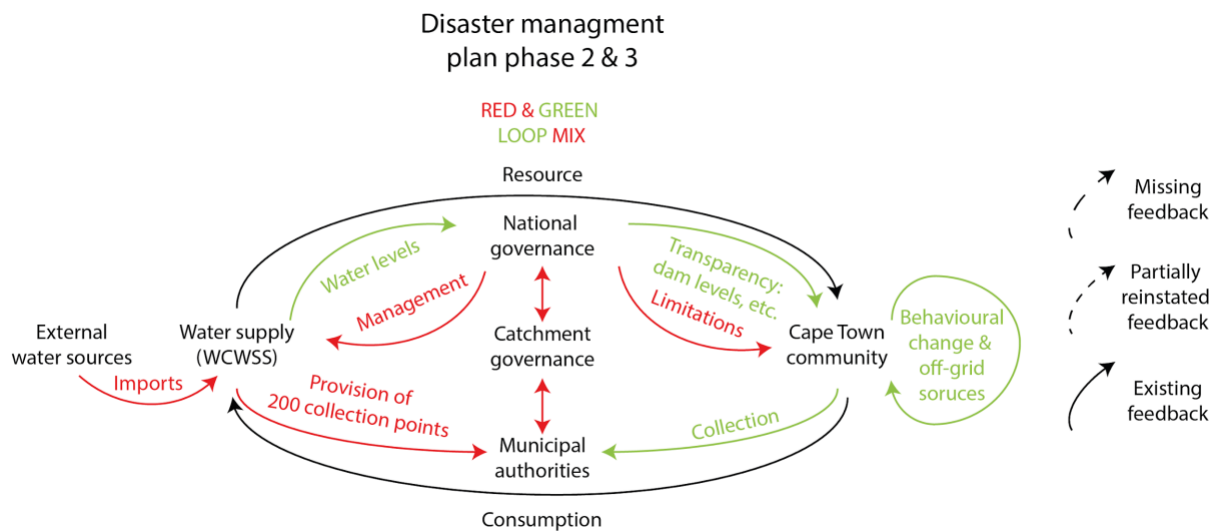
227 external (to the WCWSS) water sources. Unfortunately, however, this scenario likely
228 resulted in further water inequality (Cole *et al.*, 2017; Enqvist and Ziervogel, 2018).
229 Ultimately, Day Zero was avoided; normal rainfall in mid-2018 restored the water levels
230 in the dams to a manageable level, but the in-crisis responses of the CCT and the
231 Cape Town community also played a significant role in preventing a much more
232 serious situation (Taing *et al.*, 2019). The course of the progressing crisis and
233 implementation of phase 1 of the CCT's disaster management plan illustrate how
234 green-loops were increasingly integrated into the overall red-loop system as the crisis
235 progressed. Next, we will discuss further (yet hypothetical) green-loop integration, as
236 demonstrated by phases 2 and 3 of the disaster management plan which was
237 proposed by the CCT to alleviate the crisis should the drought have continued.

238

239 **3. Balancing social-ecological feedbacks to improve sustainability**

240 The additional emergency strategy of phases 2 and 3 of the disaster management
241 plan were agreed in advance to account for a continued period of little or no rainfall
242 (Taing *et al.*, 2019). We interpret this additional emergency strategy using the RL-GL
243 framework, to demonstrate how a mix of red and green-loops are employed to improve
244 the sustainability of Cape Town's water resources, and ultimately, the state of the
245 ecosystem providing these water resources (Fig. 2).

246



247

248 Figure 2. Outline of the management of the City of Cape Town's water resources
 249 phases 2 & 3 of the disaster management plan, contingency phases that were not
 250 employed in the 2018 water crisis.

251

252 The RL-GL framework highlights, that during phases 2 and 3 of the disaster
 253 management plan, knowledge of the state of water resources and the source
 254 ecosystem was transparent at a national level, for provincial Water Boards, the CCT
 255 municipality and the Cape Town community; this is demonstrated by a fully reinstated
 256 feedback between society and the water resource ecosystem (WCWSS). In phase 1
 257 of the disaster management plan, this feedback began to be partially reinstated via an
 258 increasingly transparent flow of information about the state of the water supply (e.g.
 259 WCWSS dam levels), fostered through an IEC campaign and more general media
 260 coverage (Fig. 1b). In phases 2 and 3, the CCT municipality planned to organise 200
 261 water collection points across the city which would integrate a new green-loop
 262 between the water resource and the Cape Town community (Fig. 2), that would be
 263 required to go to collection points and receive an allocated daily water provision of 25
 264 L per capita (Taing *et al.*, 2019). The introduction of this new green-loop would likely
 265 have had implications for how Cape Town's community view their water resources,

266 highlighting the severity of the scarcity and enforcing water collections. Although not
267 a popular strategy, this may have fully reinstated the feedback (Fig. 2). Fortunately,
268 this scenario was avoided as the IEC of this phase of the disaster management plan
269 may have triggered environmentally conscious behavioural changes (Geng *et al.*,
270 2019), such as water-saving. Again, the Cape Town community seeking to avoid this
271 scenario might also demonstrate a transition away from the typical dam mentality. The
272 community adjusted their behaviour in accordance with a mixture of strategies aimed
273 at increasing personal and public responsibility for water-use. Some attention has
274 recently been given to explaining how a disconnect (in terms of human-nature
275 interactions) between consumers and source ecosystems can result in unsustainable
276 attitudes and behaviours towards the environment (Soga and Gaston, 2016; Dajka *et*
277 *al.*, 2020); a dam mentality may be an example of this, at a personal or societal level.
278 Others argue that a strong connection with natural ecosystems (and their resources)
279 is beneficial for human health and wellbeing (Ives *et al.*, 2017). Moreover, there is
280 potential for re-connecting communities with nature in order to promote sustainable
281 behavioural changes (Ives *et al.*, 2018; Dajka *et al.*, 2020) and the improved
282 management of water resources. Though, not at the risk of socially detrimental
283 practices, as approaches to change behaviour for the benefit of sustainability *must* be
284 balanced with improvements in technological efficiencies to not decrease standards
285 of living.

286

287 Altogether, using the RL-GL framework to analyse the 2017/18 Cape Town crisis
288 revealed that progressively integrating a typically red-loop system with more green-
289 loops, helped to avert a deepening of the crisis (Fig. 1b). This balanced mix of loop
290 types has the potential to improve the resilience of water resources and their

291 management systems to crisis, and potentially facilitate adaptation over time to suit a
292 changing climate. However, there is a need for more empirical research to
293 complement the theoretical development of the RL-GL framework. This includes
294 interdisciplinary experimental and statistical work to link specific feedbacks and
295 ecological indicators to state policy or social interventions (e.g. Baudoin and Gittins,
296 2020), specifically related to the management of water resources. For instance,
297 Cumming and von Cramon-Taubadel (2018) used a statistical modelling approach to
298 connect the United Nations' Human Development Index (HDI) to the RL-GL
299 framework. This research attempted to link the notion of red and green-loops to
300 national development across a number of countries. The authors found 42 red-loop
301 countries to be mostly HDI category 1 (very high development) and 32 green loop
302 countries as mostly HDI category 4 (low development), with HDI 2 (high development)
303 and 3 (medium development) being transitory phases of development in between
304 predominantly red (HD 1) and green-loop (HDI 4) nations. In the most recent HDI
305 assessment by the United Nations in 2018, South Africa was categorised as a HDI 2
306 country with a score of 0.705 (UN Human Development Report, 2019). Suggesting
307 that indeed South Africa might be shifting from utilising both red and green-loop
308 dynamics within its social-ecological system, towards a predominantly red-loop social-
309 ecological system (e.g. HDI 1).

310 Although the HDI does not explicitly include the state of water resources in its
311 assessment of a nation's development, it is fair to assume that good quality and well
312 distributed water resources might be a feature underpinning some of the dimensions
313 of the HDI (e.g. life expectancy, per capita income, education; UNDP 2019). Therefore,
314 despite indicating a transition up the HDI, South Africa's score of 0.705 potentially
315 indicates more intensive red-loop management of water resources nationwide.

316 Viewing the Cape Town crisis through the RL-GL lens demonstrated how a solely red-
317 loop managed system can lack resilience to external pressures (i.e. climate change).
318 Other nations have, however, demonstrated that red-loop social-ecological systems
319 can be sustainable; Sweden for example, as published by Cumming *et al.*, 2014.
320 Although, this is yet to be demonstrated for the management of water resources
321 specifically. In the Cape Town example, the re-integration of green-loops into the
322 system helped alleviate the crisis, and could potentially increase resource resilience
323 by reinstating missing social-ecological feedbacks. It would be interesting to see if
324 these findings are supported by other case studies, perhaps for the management of
325 water resources in HDI category 1 and 4 countries. Additionally, analysing different
326 water users (i.e. agriculture, industry) in the Cape Town scenario (or elsewhere) using
327 the RL-GL model would be beneficial to gain a broader picture of the complex
328 relationships between water supply and its consumers. To conclude, we strongly
329 advocate the use of the RL-GL framework when analysing social-ecological dynamics.
330 We have shown that it can be an effective tool to illustrate water resources challenges
331 and can facilitate the implementation of policies or management practices to improve
332 sustainability and resilience. In addition, we provide a novel application of the RL-GL
333 framework to the management of water resources and demonstrate its utility in a
334 context outside of the fields of ecology and conservation.

335

336 **4. Conclusions**

- 337 • Our analysis demonstrates how the novel application a social-ecological
338 framework (RL-GL) to water resources issues can potentially improve the
339 sustainability and resilience;

- 340 ● This pilot study on a water resources system also contributes another example
341 application of how the RL-GL framework can be used to visualise and identify
342 detrimental, missing feedbacks in social-ecological systems;
- 343 ● The South African example presents how the re-introduction of feedbacks can
344 change behaviour to promote more sustainable water use and management
345 practices; and
- 346 ● Our article provides a conceptual, interdisciplinary approach to water resources
347 management which should be applied more broadly and validated through
348 empirical work.

349

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