# Development of a conceptual framework for the capacity enhancement of development workers in Botswana

By

Marietjie van der Merwe

Dissertation presented for the degree of
Doctor of Philosophy
at
University of Stellenbosch

Promoter: Prof C.A. Kapp
Co-promoter: Dr. M.C. Dent

December 2009

# DECLARATION

By submitting this dissertation electronically, I declare that the entirety of the work contained therein is my own, original work, that I am the owner of the copyright thereof (unless to the extent explicitly otherwise stated) and that I have not previously in its entirety or in part submitted it for obtaining any qualification.

Date : December 2009

# ABSTRACT

Although Botswana is considered by some indices as an economically successful country, poverty is experienced by 30% of the population. This is considered a very high poverty rate especially when it is compared to other countries on a similar level of economic development. Several policies have been put in place by the Botswana government to relieve the consequences of poverty. One of these policies, the destitute policy, targeted those individuals who are disabled and/or unable to engage in sustainable economic activities, causing such individuals to have insufficient assets and income sources.

It was found by the Botswana government that the implementation of the destitute policy aggravates dependency of the destitute on government support. As a result, development workers were expected to lead registered destitute to independence through the implementation of a destitute rehabilitation programme. However, literature suggested that approaches that are used by development workers to enable individuals to engage in sustainable economic activities are often detrimental to the very empowerment purposes that such workers set out to achieve.

The objective of this research was therefore to develop a conceptual framework for capacity enhancement of development workers in Botswana. This objective was addressed through applying action research in order to gain in-depth understanding of the perspectives, practices and experiences of the key role players involved in destitute rehabilitation. This was done in one urban district, one semi-urban district and one rural district council in Botswana.

This research took place in four phases, all of which were informed by the action research approach. The first phase comprised four cycles of action research. Each cycle encouraged reflection and observation on destitute rehabilitation practices and planning towards improved practices, followed by implementation. It became evident to the researcher that only single-loop learning was practiced by the development workers. Therefore, instead of gaining deeper insight into aspects that influence destitute rehabilitation, the same problems related to destitute rehabilitation practices were repeated by development workers.

Reflection on this process created understanding by the researcher on why the expected results were not achieved. Based on this reflection, a literature review was carried out in

Phase II to develop the final theoretical and methodological frameworks for this research. Phase III consisted of focus group discussions to understand the perspectives, practices and experiences of the different role players in destitute rehabilitation. The data produced in Phase III enabled understanding of how development workers' capacity was influenced by the system within which they are operating. The results of this research showed that development workers saw themselves in the same state of powerlessness as the destitute and as not being able to influence the system within which they are operating.

Phase IV comprised the application of the coding principles of grounded theory to make sense of data related to Phases I and III, followed by the application of critical systems heuristics to make further sense of the data. Based on the understanding that emerged through the application of CSH, a conceptual framework was developed for the capacity enhancement of development workers in Botswana.

It became evident in this research that the challenge for the government of Botswana is to not only reduce the number of registered destitute, but to redesign the system within which destitute rehabilitation takes place, by using the conceptual framework developed in this research. The purpose of the conceptual framework is to enable policy-makers and development workers to scrutinise the whole system within which destitute rehabilitation is implemented by engaging the key role players in dialogue on adjustments that need to be made to the system to enhance development workers' capacity in destitute rehabilitation.

# OPSOMMING

Alhoewel Botswana, gemeet aan sekere maatstawe, as ’n ekonomies suksesvolle land beskou word, leef 30% van die bevolking tans in armoede. Dit kan as ’n buitensporig hoë graad van armoede beskou word, veral as dit vergelyk word met lande met ’n soortgelyke vlak van ekonomiese ontwikkeling. Verskeie beleide is deur die Botswana-regering in werking gestel om die gevolge van armoede te bekamp. Een van die beleide, die sogenaamde beleid vir behoeftige persone, is spesifiek gerig op individue met ’n tekort aan bates of inkomstebronne veroorsaak deur gestremdheid en/of ’n onvermoë om aan volhoubare ekonomiese aktiwiteite deel te neem.

Die Botswana-regering het egter bevind dat die implementering van hierdie beleid behoeftiges se afhanklikheid van regeringshulp vererger. As gevolg hiervan word daar van ontwikkelingswerkers verwag om geregistreerde behoeftiges na onafhanklikheid te lei deur die implementering van ’n program vir die rehabilitasie van behoeftiges. Die bevindings uit beskikbare literatuur dui egter daarop dat die metodes wat deur ontwikkelingswerkers gebruik word om behoeftiges in staat te stel om aan volhoubare ekonomiese aktiwiteite deel te neem dikwels ’n negatiewe uitwerking ten opsigte van die beoogde bemagtigingsoogmerke het.

Die doel van hierdie navorsing was dus die ontwikkeling van ’n konsepraamwerk vir kapasiteitbou vir ontwikkelingswerkers in Botswana. Die mikpunt is benader deur aksie-navorsing toe te pas om ’n grondige begrip te verkry van die perspektiewe, praktyke en ondervindings van al die rolspelers betrokke by die rehabilitasie van behoeftiges.

Die navorsing het volgens die aksienavorsingsbenadering in vier fases in een stedelike, een newe-stedelike en een landelike distriksraad in Botswana plaasgevind.

Die eerste fase het vier siklusse van aksienavorsing behels. Elke siklus het reflektering en observasie met betrekking tot ontwikkelingswerkers se bestaande rehabilitasiepraktyke aangemoedig. Dit is gevolg deur beplanning vir verbeterde praktyke en implementering van die beplande aksie. Dit het vir die navorser duidelik geword dat slegs enkellus-leer deur ontwikkelingswerkers toegepas is. In stede daarvan om ’n dieper insig in die aspekte wat die rehabilitasie van behoeftiges beïnvloed te verkry, is dieselfde problematiese praktyke met die rehabilitasie van behoeftiges telkens deur die ontwikkelingswerkers herhaal.

Nabetragting oor die proses het die navorser die redes laat verstaan hoekom die verwagte resultate nie behaal is nie. Gebaseer op hierdie nabetragting is ’n literatuurstudie tydens Fase II uitgevoer om die finale teoretiese raamwerk en metodologie raamwerk vir die navorsing te ontwikkel. Fase III het fokusgroep-besprekings ingesluit om die perspektiewe, praktyke en ondervindings van die verskillende rolspelers tydens die rehabilitasie van behoeftiges beter te verstaan. Die gegewens verkry gedurende Fase III het die navorser insig gegee in die wyse waarop ontwikkelingswerkers se kapasiteit beïnvloed word deur die stelsel waarbinne hulle werk. Die resultate van hierdie navorsing het getoon dat ontwikkelingswerkers hulself beskou as in dieselfde toestand van magteloosheid as die behoeftiges, en dat dit vir hulle onmoontlik is om die stelsel waarbinne hulle werksaam is te beïnvloed.

Fase IV het begin met die toepassing van koderingsbeginsels van gegronde teorie ter opklaring van gegewens verkry tydens Fases I en III, gevolg deur die toepassing van kritieke stelsel-heuristiek, ’n stelsel-denke-benadering, om die gegewens van Fase I en III te integreer. Die insig wat verkry is deur die toepassing van kritieke stelsel heuristiek het bygedra tot die ontwikkeling van die konsepraamwerk vir die kapasiteitsbou van ontwikkelingswerkers in Botswana.

Dit het uit hierdie navorsing geblyk dat die uitdaging vir die Botswana-regering nie net is om die aantal geregistreerde behoeftiges te verminder nie, maar om ook die huidige stelsel waaronder die rehabilitasie van behoeftiges plaasvind, te herontwikkel deur die konsepraamwerk wat in hierdie navorsing ontwerp is, te implementeer. Die doel van die konsepraamwerk is om beleidmakers en ontwikkelingswerkers in staat te stel om die rehabilitasiestelsel van behoeftiges te bestudeer deur al die rolspelers in dialoog te betrek sodat veranderinge aan die stelsel gemaak kan word vir kapasiteitsbou van die ontwikkelingswerkers.

# DEDICATION

*This research is dedicated to Louise Brown, who greatly supported me at a time when she herself needed the support.*

# ACKNOWLEDGEMENTS

I would like to extend my sincere gratitude and appreciation to the following people and organisations:

- Prof Chris Kapp, my promoter, for his support and expert supervision throughout the process;
- Dr Mark Dent, my co-promoter, for his passion, enthusiasm and invaluable insight into my field of research;
- the National Research Foundation and UKZN Competitive Grant for their financial support of this research;
- Prof Maryann Green, Prof Julia Preece, Dr Sid Luckett and Dr Ruth Albertyn for expert advice;
- beneficiaries of the social welfare programme in Botswana, who took part in this research with optimistic expectation and excitement;
- the Botswana Department of Social Services, for giving me permission to undertake this research, and for their continuous support;
- the Department of Social and Community Development from three different districts in Botswana, for participating throughout this research;
- the Botswana Department of Local Government Service Management, for contributing to this research;
- CEAD and the School for Environmental Science, UKZN, for supporting me 100% and more. Special thanks to Phillipa, Kerry, Steve, Karen and Anusha;
- Keneilwe and Tlongbotho, for being my competent research assistants;
- my family, who, out of eagerness to see me complete this dissertation, would have written it for me had I allowed them to do so. Thank you for your love and support when I needed it most;
- Selby, Stella, Neville and all those close to me, for their continuous and unwavering support and encouragement. Your influence in my life has been precious; and
- my Creator through whom nothing is impossible. His grace sustained me throughout this journey and enabled me to persevere with hope and courage.

# CONTENTS

# LIST OF TABLES

# LIST OF FIGURES

# LIST OF REFLECTION BOXES

# LIST OF APPENDICES

The following appendixes are included on the CD attached on the last page of this dissertation:

*Chapter 1*

# INTRODUCTION AND OVERVIEW

## 1.1 Introduction

> *By the year 2016, Botswana will have eradicated absolute poverty, so that no part of the country will have people living with income below the appropriate poverty datum line. Within the next ten years the percentage of people in poverty will have been reduced to at most 23 percent, which is half the level of 1994* (Presidential Task Group 1997).

This statement reflects the Government of Botswana's vision to reverse the negative consequences of poverty so that the gap between economic prosperity and poverty will be reduced. According to the most recent household and income expenditure survey (HIES), poverty is experienced by 30% of the population in Botswana (Central Statistics Office 2004). This is considered a very high rate especially if the poverty rate is compared to other countries on a similar level of economic development (Organisation for Economic Cooperation and Development [OECD] 2006). The poverty rate (30%), however, shows a decline compared to 47% in the 1993/1994 HIES and 59% in the 1985/86 HIES (Central Statistics Office 1995).

In 1966, Botswana was among the poorest countries globally. The few people involved in productive labour were self-sustaining cattle farmers (Bar-On and Prinsen 1999). However, through top-down development policies geared towards economic development, Botswana has achieved an impressive economic standing. Between 1966 and 1991, Botswana had an average annual real gross domestic product (GDP) of 6,1%, which was the highest growth rate in the world (Clover 2003).

Despite an improved economic situation in Botswana, there are still regions in Botswana where poverty is prevalent. Between 1991 and 2002, the Human Development Index (HDI) in Botswana dropped from the 95th to the 126th place (out of 173 countries) (Clover 2003). Globally, Botswana is the only country out of 21 countries in the world that experienced economic growth during this period (between 1991 and 2002) while simultaneously recording a drop in the HDI. Thus, it can be said that poverty is still significant in Botswana despite the country's relative prosperity.

The government of Botswana implemented many poverty-reduction policies to create a safety net for those experiencing the consequences of poverty. Rivers (2000) argues that, in spite of the Botswana government's efforts, there has not been a significant decline of poverty. One of the government policy frameworks for poverty reduction is the policy on destitute persons (Ministry of Local Government 2002b). This policy was initially implemented according to the 1980 policy and aimed to provide temporary relief to those classified as destitute by means of food and money allowances (Ministry of Local Government 2002b). In 1996, the 1980 policy was assessed in terms of its capability to effectively address the current needs of the destitute and to establish whether the implementation of the policy minimised the dependency syndrome (Botswana Institute for Development Policy Analysis 1997). These issues were assessed for changes in the nature and the incidence of extreme poverty and destitution and the ability of the destitute to cope with poverty dynamics. In 2002, the policy was reviewed and revised as a result of these findings (Ministry of Local Government 2002a).

The revised policy (Ministry of Local Government 2002b, 2002a) put emphasis on the rehabilitation of the destitute, to ensure that the destitute become self-sufficient and independent of government support. Development workers are encouraged through the revised policy to move away from dependency aggravating approaches that impede empowerment. The implementation of the 2002 revised policy was enhanced in 2004 by the development of destitute rehabilitation guidelines. A problem-solving model of nine steps was suggested as the basis on which implementation of the revised policy needs to take place (Ministry of Local Government 2002a).

However, there is still uncertainty regarding development workers' capacity to implement the destitute rehabilitation programme in such a way that it leads the destitute to independence from government support.

## 1.2 The need for the research

Rivers (2000) criticises the government of Botswana for many programmes that have not been successful in leading to a significant reduction of poverty. Although these programmes meet the goals of providing a minimalist social safety net while lessening the full impact of destitution, they do not address the root causes of poverty. These programmes are often viewed as a contributing factor in keeping the poor poor, since they (the programmes) have the potential to undermine and weaken community participation, leading to problems of

inertia, a passive attitude and lack of cooperation by the community members (Lekoko and Van der Merwe 2006).

Joshi and Moore (2000) accused development organisations of choosing to believe that they manage their development programmes in ways that empower the poor, which is not reflected in their practices. This exemplifies a predicament that occurs when development workers' good intentions to develop communities are nullified by distorted assumptions of empowerment and obstacles caused by external factors. There is, according to Lekoko (2002), a discrepancy between policy-makers' intentions (to make a contribution to development through extension services) and the reality in Botswana.

The ideal situation is to help the poor meet their present needs while not compromising their ability to grow their own capabilities in future (United Nations World Conference on Environment and Development in Friedman 1992). The addressing of present needs may provoke dependency, while an increase in their ability to develop their own capabilities may lead the poor to independence from outside support. However, the poor are at times viewed as unable to help themselves and in need of experts to assist them (Kroeker 1995). This expert-led approach does not view the poor as people who can think for themselves.

In recent research by Van der Merwe, Mberengwa and Lekoko (2008), which investigated development workers' empowerment practices (to empower the poor) and perspectives (related to the poor), it was found that expert-led approaches are mostly used in Botswana. This includes the application of welfare and development (developmental social welfare) approaches (Figure 1.1) (Hope and Timmel 1984).

The welfare and the developmental social welfare approaches focus on the distributing of handouts and on the teaching of skills to address the immediate symptoms of poverty, and do not contribute to sustainable empowerment (Hope and Timmel 1984; Kroeker, 1995).

The liberation and transformation approaches, on the contrary, challenge community members to move from the expectation that authorities must change their circumstances, to the more appropriate idea of taking self-action to improve the functioning of systems (Freire 1973; Goldenberg 1978; Couto 1998). Critical thinking, self-reflection, dialogue, consciousness-raising and participation form the pillars of the liberation and transformation approaches. These pillars enable community members to move from the awareness of issues that confront them on a daily basis to the examination of these issues, which ultimate leads to empowerment (Freire 1970; Mezirow 1991).

There is currently a discrepancy between the approaches applied during destitute rehabilitation in Botswana and the outcomes that the destitute rehabilitation programme generate, as illustrated in Figure 1.1. The approaches that are currently used, namely the giving of food rations (welfare approach) and skill-related training (developmental social welfare approach), do not lead to independence of the destitute. The goal of independence and empowerment is likely to be achieved through the application of the liberation and transformation approaches (Figure 1.1).

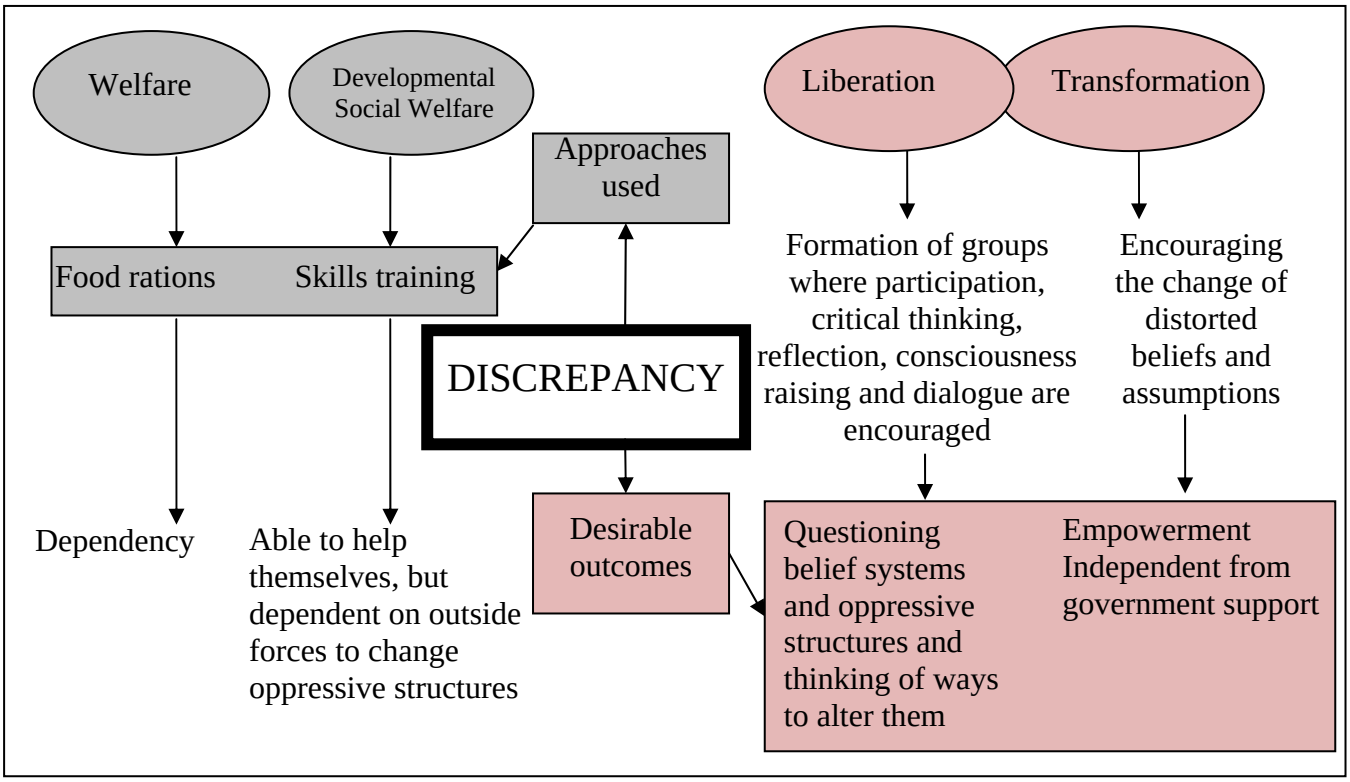



**Figure 1.1: The discrepancy between desirable outcomes of destitute rehabilitation programmes and the approaches employed (based on Hope and Timmel 1984; Korten 1990; Kroeker 1995)**

The predicament exemplified in Figure 1.1 proposes a challenge to development workers to align their practices with the outcomes they are expecting when they are developing the poor (destitute).

The development workers need to be exposed to an environment that cultivates rethinking, relearning and the development of new insights, in order to move from approaches that create dependency to approaches that will create independence. The challenge is, however, not to find mere solutions to enhance development workers' practices but rather to understand development workers' practices as part of a system that affects their practices.

Literature (Vijayaragavan and Singh 1997; Glickman and Servon 1998; Irvine, Chambers and Eyben 2004; Chambers 2005; Lekoko 2005) describes many inhibitors in the system within which development workers are operating and which affect their practices when the aim is to empower the poor (destitute). This includes the following:

- development workers are often not supplied with guidelines and clear job descriptions that outline what is expected of them;
- development workers are not exposed to adequate supervision and mentoring;
- the instructions development workers get from policy-makers do not match the real environment within which they (development workers) implement the policies; and
- development workers often have to face poor working conditions (low salaries and long working hours).

In addition, it is often expected of development workers to spend a vast amount of time in meetings, policy discussions and strategic planning workshops instead of spending time with the poor (Irvine et al. 2004). This causes development workers to be isolated from the poor, while lacking the opportunity for direct experiential learning about the experiences and living conditions of the poor.

Taking into consideration these factors that may influence development workers' practices when the goal is to lead the poor (destitute) to independence, it is necessary to understand the system, which affects development workers' practices.

## 1.3 Problem statement

Policy-makers and the implementers of policies have good intentions to empower destitute people. However, approaches that are used to take people from the state of dependency to independence often tend to be detrimental to the very empowerment purpose that they set out to achieve. The case in point here is that of the practices of development workers that are meant to empower the communities. Experience and literature (for example Joshi and Moore 2000; Lekoko 2002) indicate that development workers often fail to empower communities.

The following research question was therefore developed to scrutinise the problem of inadequate practices by development workers:

*What is the process of capacity enhancement of development workers applied during the implementation of destitute rehabilitation programmes in Botswana?*

The data produced during the action research cycles (Phase I of this research) brought new challenges and new questions to this research (further discussed in Subsection 4.1). It became evident that the practices of development workers were influenced by the system within which they (development workers) are implementing the destitute rehabilitation programme and their practices could not be seen as an isolated part of the system.

The problem is thus that the system within which the destitute rehabilitation programme is implemented impedes development workers' practices. This inhibits the destitute rehabilitation programme from bringing about the outcomes that it intended to accomplish.

As a result, the research question changed to:

*What are the perspectives, practices and experiences of the key role players who influence the system in which development workers implement the destitute rehabilitation programme in Botswana?* (Table 1.1)

## 1.4 The research objective

The objective, in the context of the original research question, was to describe the process of capacity enhancement of development workers as they implement the destitute rehabilitation programme. The process of addressing this objective brought new challenges, which required an in-depth understanding of the problem within a systems framework. The following objective was therefore created:

*Development of a conceptual framework for capacity enhancement of development workers in Botswana through in-depth understanding of the perspectives, practices and experiences of the key role players involved in destitute rehabilitation* (Table 1.1).

**Table 1.1: The initial as well as the emerged research question and research objective**

| | Initial | New (as the research evolved) |
|---|---|---|
| **Research question** | What is the process of capacity enhancement of development workers applied during the implementation of destitute rehabilitation programmes in Botswana? | What are the perspectives, practices and experiences of the key role players who influence the system in which development workers implement the destitute rehabilitation programme in Botswana? |
| **Research objective** | To describe the process of capacity enhancement of development workers as they implement the destitute rehabilitation programme. | Development of a conceptual framework for capacity enhancement of development workers in Botswana through in-depth understanding of the perspectives, practices and experiences of the key role players involved in destitute rehabilitation. |

## 1.5 Sub-objectives

In relation to a systems theory for destitute rehabilitation linked to development workers, the destitute and other role players in the destitute rehabilitation process, the sub-objectives are to:

1. understand the destitute rehabilitation programme in terms of its implementing processes;
2. understand development workers' perspectives, practices and experiences related to their relevant internal and external behavioural environments, the interaction between the environments and the way this influences the development workers' destitute rehabilitation practices;
3. understand the perspectives, practices and experiences of the destitute regarding their state of destitution and the destitute rehabilitation process;
4. understand the perspectives, practices and experiences of policy-makers, human resource officers, council management and village and ward development committees regarding destitute rehabilitation;

5. develop the methodology of this research through different phases to increase depth of understanding related to capacity enhancement of development workers; and
6. develop a conceptual framework for the capacity enhancement of development workers, through critical systems heuristics.

## 1.6 Clarification of concepts

It is important to understand the different key concepts related to this research in the context in which it has been applied. This includes the following concepts:

### *1.6.1 Destitute person*

The Ministry of Local Government (2002b) of Botswana regards a destitute person as an individual who is disabled and/or someone who is unable to engage in sustainable economic activities, causing such person to have insufficient assets and income sources. The government of Botswana thus uses the term *destitute* to refer to a specific group of poor people whom receive material support from the Botswana government. In discussion of the literature the term *poor* will be used, however when referring to the empirical part of this research the term *destitute* will be used.

The term *destitute* as used in this research may appear as degrading of the destitute's identity. However, the term *destitute* is only used in this research as a collective name for those receiving government support through the destitute programme. The terms *destitute person* or *destitute persons* would be used to present any material related to this research to the public.

### *1.6.2 Destitute rehabilitation programme*

The destitute rehabilitation programme forms part of the destitute policy in Botswana and is prescribed by destitute rehabilitation guidelines (Ministry of Local Government 2002a). Rehabilitation of the destitute in Botswana is targeted at able-bodied adults who have insufficient assets and income sources. The destitute rehabilitation programme aims at imparting relevant skills and knowledge to destitute persons to the extent that they are able to obtain a sustainable income without being dependent on assistance by the local government. Rehabilitation includes aspects like individual and family counselling, education and skills training activities, participation in work programmes and support for income-generating activities (Ministry of Local Government 2002a).

### 1.6.3 Capacity enhancement

It is, according to Milèn (2001), essential that capacity enhancement take place in a systems framework to identify the root causes for capacity constraints and to develop strategies accordingly. In this research, capacity enhancement of development workers is therefore seen as part of a systems approach by taking the perspectives, practices and experiences of the key role players of the destitute rehabilitation process into consideration.

### 1.6.4 Action research

The core feature of action research is that there is an intimate relationship between research and some form of practical activity in such a way that the activity is the source of inquiry and the results are fed back into the activity concerned (Hammersley 2004). Action research takes place through different cycles. Each cycle consists of different stages, described by McTaggart (1989) as planning, acting, observing and reflection and then re-planning. The four different phases of this research were each informed by action research.

### 1.6.5 Development workers

Development workers in Botswana are responsible for the provision of services to people in the communities to enable them to change their livelihood, to provide technical expertise, to help them to identify and solve problems and to implement policies (Van der Merwe et al. 2008). The responsibilities as listed above are performed in Botswana by a multi-disciplinary team (which will be referred to as "development workers" in this research), consisting of social workers, home economic extension workers and community development workers, in the Department of Social and Community Development in district and city councils throughout Botswana. The Department of Social and Community Development (S&CD) in the different councils are headed by a management team and are in this research referred to as *S&CD council management*.

### 1.6.6 The Department of Social Services

The Department of Social Services (DSS), which is a department of the Ministry of Local Government, plays a very important role in the implementation of poverty-reduction activities in Botswana. The DSS is responsible for the provision of social safety nets and social protection schemes to those community members who are vulnerable and needy (Ministry of Local Government 2007). The formulation of the destitute rehabilitation guidelines is done by the DSS.

### 1.6.7 The Department of Local Government Service Management

The Department of Local Government Service Management (DLGSM) is, together with the Department of Social Services, a department of the Ministry of Local Government in Botswana (Ministry of Local Government, 2007). The DLGSM is mainly responsible for human resource-related issues, which include the following responsibilities (only those related to this research will be mentioned):

- recruitment of development workers;
- transfer and promotion of officers;
- designing of in-service training courses, in conjunction with the Department of Social Services;
- structure and assessment of salaries; and
- development of conditions of appointments.

### 1.6.8 Village and ward development committees

Village development committees (VDCs) and ward development committees (WDCs) are elected by the community to contribute to the development of the community. Village development committees are those working in collaboration with district councils, and ward development committees are those working in collaboration with urban district councils (Ministry of Local Government 2002c).

### 1.6.9 Systems thinking

The central notion of systems thinking is that the focus is not on individual parts of a system but the understanding of the complexity of systems is encouraged by focussing on the interrelatedness and relationships of the parts (key components) in the whole system (Ackoff 1981; Checkland 1981; Senge, Kleiner, Roberts, Ross and Smith 1994; Bawden 1997).

In this research, systems thinking is applied to explain development workers' practices as influenced by many other key components in the system within which they are operating. Solutions are not found in terms of the practices that development workers are applying, but rather in terms of the system which directly affects their practices. Solutions are thus not geared at addressing the symptoms of problems but rather at establishing the causes of problems, which may inform long-term solutions (Maani and Cavana 2000).

### *1.6.10 Critical systems heuristics*

Critical systems heuristics (CSH), as developed by Ulrich (2005), aims to encourage reflective practices and exploring of assumptions, questions and solutions in the whole system. The defining of a system is based on judgment about what the whole entails, which is called boundary judgment by CSH. CSH is applied in this research because of its ability to bring forth qualitative data that describes different perspectives, values and boundary judgments of the role players involved (Luckett 2006). Four CSH outlines were developed as an outcome of the application of CSH in this research. These outlines informed the development of the conceptual framework (Sub-objective 6).

## 1.7 Research methodology

This section gives an overview of the procedure and methodology employed in this research to develop a framework for the capacity enhancement of development workers in destitute rehabilitation programmes in Botswana. An action research approach was followed and it drew from systems theory.

### *1.7.1 Research design and methodology*

This research took place in four phases, all of which were informed by the action research approach. The first phase involved four cycles of action research (Figure 1.2), which was carried out with the development workers during implementation of the destitute rehabilitation programme. This was done to gain understanding and to develop new knowledge with the development workers. Each cycle included four stages, namely observation, reflection, planning and implementation. Observation, reflection and planning were carried out during a workshop, and implementation took place over a three-month period. This allowed the researcher and the development workers to get a clear understanding of the operational system within which rehabilitation takes place and of their experiences during destitute rehabilitation.

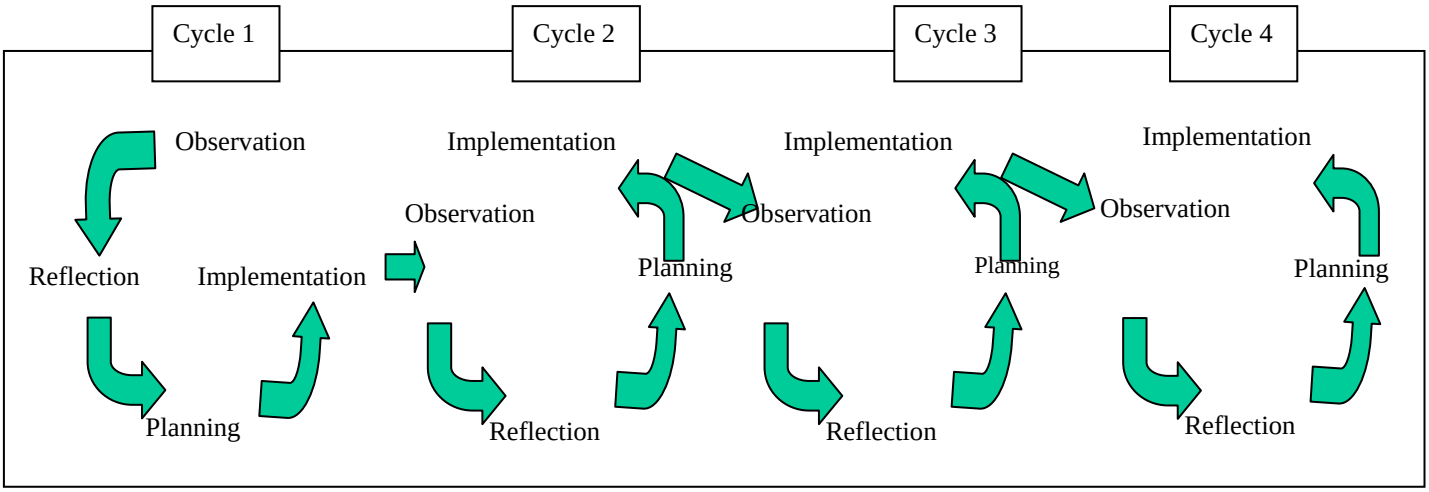



**Figure 1.2: An illustration of the action research cycles, as applied in Phase I of this research**

The data obtained during these four action research cycles addressed the first two sub-objectives of this research. Destitute were interviewed before the implementation of the fourth action research cycle and focus group discussions were conducted during and after the implementation of the fourth action research cycle to accomplish Sub-objective 3 of this research.

A preliminary literature review was done before the implementation of Phase I to develop an initial theoretical framework (Figure 1.1) as described in Subsection 1.2. Based on the findings of Phase I, an elaborated and comprehensive literature review was carried out in Phase II and the final theoretical framework was developed. The literature review suggested changes that were made to the methodological framework after Phase I (Sub-objective 5).

Phase III included focus group discussions and interviews to understand the perspectives, practices and experiences of the development workers, the destitute, village and ward development committee members, policy-makers (Department of Social Services), human resource officers (Department of Local Government Service Management) and the council management of the two district councils and one city council. The data produced in Phase III enabled understanding of how the capacity of development workers was influenced by the system within which they are operating (Sub-objectives 1 to 4).

Phase IV included the application of the coding principles of grounded theory to make sense of data related to Phases I and III. This led to the application of CSH to synthesise the data of Phases I and III through the development of four CSH outlines. Focus group discussions were applied in Phase IV with the key role players (except village and ward development committees) to establish whether the content of the CSH outlines accorded with the

experiences of the key role players. This was followed by the development of a conceptual framework (Sub-objective 6).

### *1.7.2 Sampling*

Each of the 14 districts in Botswana has its own multi-disciplinary team that is responsible for implementing the rehabilitation of the destitute policy. These teams consist of social workers, home economics extension officers and community development officers. In Phase I of this research, development workers (a combination of social workers, home economics extension officers and community development officers) were included in each of the three selected districts: one rural district (20 development workers), one semi-urban district (18 development workers) and one urban district (city council) (20 development workers). Only the city council took part in Action Research Cycles II to IV. Ten development workers of the city council were included in subsequent focus group discussions in Phase III. The following key role players were included as well:

- eight council management members of the city council (social and community development department), the chief community development officer from the semi-urban district and two council management members from the rural district council;
- eight development workers from the semi-urban district council and seven development workers from the rural district council;
- two village development committee members from each of the two district councils, and eleven from the city council;
- six councillors from the city council;
- three human resource officers from the Department of Local Government Service Management; and
- ten policy-makers from the Department of Social Services.

Thirty-six destitute persons from two different districts councils and one city council (Kgatleng, Kweneng and Gaborone) were interviewed before the implementation of the action research cycles (Phase I). Focus group discussions were carried out with five different groups (14 destitute) that took part in the destitute rehabilitation projects at the city council (urban district) before and after the fourth workshop (Action Research Cycle IV, Phase I).

As part of Phase III, focus group discussions were conducted with ten destitute from the urban district, eight from the semi-urban district and nine from the rural district. This included

destitute who were involved in destitute rehabilitation projects or involved at some point, as well as those who are able-bodied but not involved in rehabilitation.

Development workers and destitute from the semi-urban district took part in the focus group discussion in Phase IV as well as officers from the Department of Local Government Service Management and the Department of Social Services.

Purposeful sampling was employed in all cases according to specific criteria (further discussed in Subsection 5.3).

### *1.7.3 Data collection methods and analysis*

The research methodology (Subsection 1.7.1) applied in this research, generated qualitative data. The following methods were used for data collection:

- interviews with the destitute;
- four workshops with the development workers. The first workshop was conducted according to the search conference framework. The frameworks for the subsequent workshops were based on the action plans developed during the first workshop. Each workshop was followed by a three-month period of implementation of the action plans. During this time, the researcher monitored the development workers' practices and experiences (observation). Reflection was done together with the development workers during the subsequent workshop;
- focus group discussions with the destitute during Phase I to understand their experiences during destitute rehabilitation;
- focus group discussions with the key role players in destitute rehabilitation (development workers, the destitute, policy-makers, human resource officers, village and ward development committee members, councillors and council management from only the urban district) as part of Phase III; and
- interviews with the council management members from the rural and semi-urban districts.

In all cases, data were transcribed from tape recordings and notes that were taken during the workshops, focus group discussions and interviews.

Coding principles of grounded theory were applied during the first stage of the data analysis. This was followed by the application of CSH to obtain deeper insight into the analysed data.

Focus group discussions were conducted with the role players after the development of the CSH outlines, which informed the development of the final conceptual framework.

### *1.7.4 Procedure during research*

The objective of the research was the development of a conceptual framework for capacity enhancement of development workers during the implementation of the destitute rehabilitation programme. The following sequence was followed to address the objective of the research:

1. a preliminary literature review and development of the initial theoretical framework;
2. semi-structured interviews with thirty-six destitute at the three different districts before the action research process started (Sub-objective 3);
3. a three-day workshop, which followed the search conference framework, with development workers from the three different councils (Sub-objectives 1 and 2);
4. monitoring of the development workers' practices at the city council during implementation of the guidelines developed during the workshop through focus group discussions and three subsequent cycles of workshops and monitoring during implementation (Sub-objectives 1 and 2);
5. focus group discussions with the destitute who took part in the rehabilitation projects (Sub-objective 3);
6. completion of a further literature review and the development of a final theoretical and methodological framework (Sub-objective 5);
7. focus group discussions with the destitute, development workers, council management, the Department of Local Government Service Management, the village and ward development committees and councillors (Sub-objectives 1 to 4);
8. analysis of data obtained through Phases I and III of this research through the application of grounded theory coding principles and critical systems heuristics (Sub-objective 5);
9. engagement in dialogue with the role players (policy-makers, human resource officers, council management from the Department of Social and Community Development,

development workers and the destitute) to discuss the outlines developed through critical systems heuristics (Tables 7.7–7.17 and 7.19); and

10. development of the final conceptual framework (Sub-objective 6).

Steps one to five pertain to Phase I of this research, step six to Phase II, step seven to Phase III, and steps eight to ten to Phase IV. The time frame in which these steps were carried out is outlined in Appendix 14.

## 1.8 Delimitation

This research initially included only three of the fourteen districts of Botswana. These three districts represent one rural area, one semi-rural and one urban area. The three districts are the Gaborone city council (urban area), Kweneng district (semi-rural) and Kgatleng district (rural area). The research was further restricted to only the urban district with the application of Action Research Cycles II to IV in Phase I.

It was initially planned to focus mainly on the practices of development workers during the implementation of the destitute rehabilitation programme. Although the destitute were interviewed before the research started, they were excluded during the action research process. It was regarded a necessity to include the destitute in the research process. The policy-makers, human resource officers, village and ward development committees and S&CD council managements who were initially excluded, were included in Phases III and IV of this research. The reason for these role players' inclusion in Phase III and IV was that it became evident that development workers' practices could not be seen in isolation of the other role players who influence destitute rehabilitation.

This research only focussed on the development of a conceptual framework for capacity enhancement of development workers, but it does not document the process of implementing the framework. However, the development of the framework is based on the perspectives, practices and experiences of the key role players in destitute rehabilitation.

## 1.9 Sequence of chapters

Chapter 1 comprises the introduction and overview of the research, which highlights the significance of the research. This chapter justifies why capacity enhancement of development workers in Botswana related to destitute rehabilitation practices is important. At times, the approaches that are used to take people from the state of dependency to independence tend to

be detrimental to the very empowerment purpose that they set out to achieve. On the other hand, the system within which these approaches are implemented may influence development workers' practices. This chapter defines the main objective and sub-objectives of the research, different concepts related to the research and the different methods employed.

Chapter 2, the first literature review chapter, defines poverty and poverty measures, and describes different approaches to poverty reduction. Poverty, as viewed in Botswana and the approaches employed by the government of Botswana to reduce poverty, are also described.

The second part of the literature review is described in Chapter 3. A description of systems thinking and different approaches that can be employed to enhance the capacity of development workers is done. This chapter also outlines the development workers' system, including the individual, the organisation and the enabling environment.

Chapter 4 is a synthesis of Chapters 2 and 3, and describes the theoretical framework of the research.

Chapter 5 outlines the research methodology for this research. This includes the situational context within which this research took place, descriptions of the research sampling and the appropriate selection methods, the measuring instruments, data collection and data analysis.

The results of the qualitative data as obtained in Phase I are described in Chapter 6.

Chapter 7 describes the results of the analysis of qualitative data obtained in Phase III. It also describes the application of the critical systems heuristics approach to develop a conceptual framework for capacity enhancement of development workers.

The final chapter, Chapter 8, presents a synthesis of the literature and the findings of this research as well as the conclusions and recommendations.

## 1.10 Summary

This chapter described the background, need for the research, the research question, the main objective and sub-objectives of this research, which revolves around the gaining of an in-depth understanding of destitute rehabilitation practices and experiences by development workers and the environment within which development is taking place. The next chapter puts destitute rehabilitation into the context of the broader poverty reduction framework. This chapter (Chapter 2) defines poverty, outlines poverty reduction strategies and describes the poverty situation in Botswana.

*Chapter 2*

# LITERATURE REVIEW PART 1: A CONCEPTUALISATION OF POVERTY AND POVERTY REDUCTION STRATEGIES

## 2.1 Introduction

Chapter 1 described the research question, the main objective and the sub-objectives of this research. The main objective of this research is to develop a conceptual framework for capacity enhancement of development workers in Botswana through in-depth understanding of the perspectives, practices and experiences of the key role players involved in destitute rehabilitation.

The destitute rehabilitation programme was instigated by the government of Botswana in 2002 to assist the destitute who are dependent on government handouts. These handouts are provided through the social support network as created by the government of Botswana. Benefits of the social support network include the giving of a monthly allowance and other benefits like free housing and provision for school fees and clothing. This chapter contributes to the development of the theoretical framework (Figure 4.6) by focussing on the measuring of poverty, different types of poverty, the vicious cycle of poverty, poverty identity, stigmatisation and strategies to use for poverty reduction.

Reflection boxes were used in this literature review to show the development of the thinking process and the researcher's own understanding of the literature.

## 2.2 Poverty defined

In the early 1900s, the poor were identified and classified according to specific poverty measurements based on nutritional and other basic needs requirements. Rowntree (1941) defined poverty for example as the inability to obtain minimum livelihood necessities. In the 1960s, poverty measurements included macro-economic indicators like the gross national product (Maxwell 1999). There was a shift in perspectives towards the poor in the mid 1970s. During that decade, poverty was defined in terms of access to services pertaining to health, housing and education and not only as a lack of reliable income. It was acknowledged that poverty is relative and based on the failure to meet standards set in a specific society, and that

is not only due to the failure to meet a certain nutrition or subsistence level (Maxwell 1999). Townsend (1979) described poverty for example as a lack of resources to obtain the necessary diet and to participate in activities and having adequate living conditions according to the society to which they belong. This view of poverty was termed *relative poverty* (Blackburn 1991). It was only in the 1980s that psychological, social and capability (human) dimensions (non-monetary measurements) were taken into consideration. This latter view of poverty is based on:

- the work of Chambers (1983) (based on powerlessness and isolation experienced by the poor), which inspired participatory approaches (Chambers 1994 and 1997);
- the work by the Brutland commission work in 1987 on sustainable livelihoods (Solesbury 2003); and
- Sen's capability theory (1985), which acknowledged the limited capabilities of the poor. Sen's (1985) capability theory states that poverty is due to the poor's inability to function in certain situations.

Sen's work moved away from economic growth toward issues of personal well-being, agency (ability to define own goals and to act upon it) and freedom (Clark 2005). The concept of *human poverty* as used by the UNDP (United Nation Development Programme) was derived from the capability approach, and defines poverty in terms of the context within which people live (UNDP 1990).

In the 1990s, the view of the poor was further elaborated by the UNDP, since emphasis is placed on the lack of choices, which give rise to a lack of freedom, dignity, standard of living and the respect of others (Maxwell 1999). The UNDP's definition is also related to the World Bank's definition (2001), which describes poverty as "the lack of, or the inability to achieve, a socially acceptable standard of living". Lack can be related to power, human capability, financial sources (lack of income and physical capital), opportunities, access to services, information and education and the right to participate in a community (United Nations Economic and Social Commission for Asia and the Pacific 2000; World Bank 2001; Blanco 2002; Sen and Hulme 2004; Bellù and Liberati 2005).

In this research, the two main concepts in the definitions of the UNDP and the World Bank have been taken into consideration, to develop a poverty definition. Firstly, the definition refers to a *process*, namely the lack of essential capabilities to function in a society, or the lack of freedom to achieve valuable functioning. Secondly, the definition refers to an

*outcome*, namely the inability to meet the expected and acceptable standard of living (see Figure 2.1). This causes the poor to be defenceless and unable to resist shocks, risks and stresses (Chambers 1983; Kabeer 2004), which cause them to experience deeper levels of poverty (Vasilachis de Gialdino 2006) (see Figure 2.1).

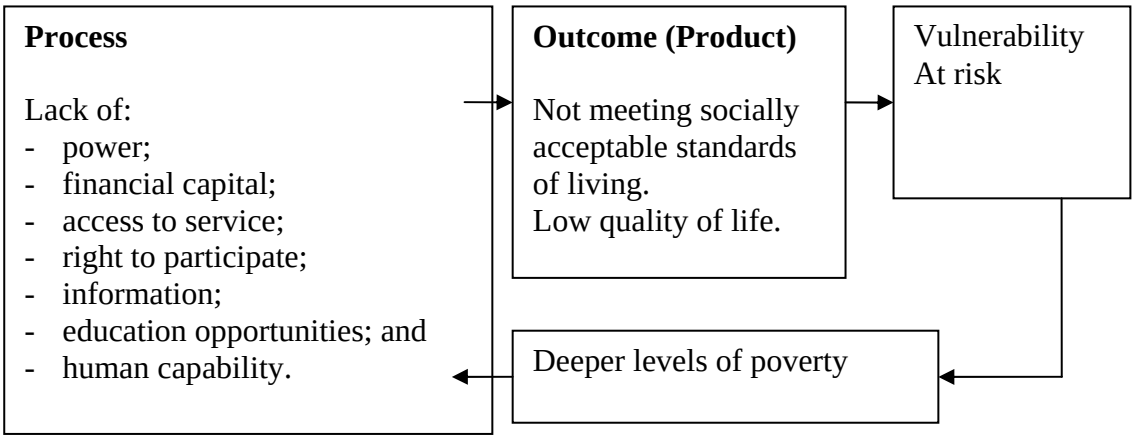



**Figure 2.1: Poverty defined as a process and an outcome (based on the work of Chambers 1983; UNDP 1990; World Bank 2001; Kabeer 2004; Vasilachis de Gialdino 2006)**

The way poverty is defined (how the poverty process is perceived and the outcome of it) is important since it influences the policies that will be used to address it.

Benito (2000) for example views poverty in terms of economic growth, unemployment, governance failure in implementing poverty reduction strategies and the percentage of the indigenous population in a country. Benito understands poverty thus in macro terms where the definition of poverty is beyond the understanding of those affected by it.

Underlid (2006) argues that it is important to approach poverty contextually by taking the historic dimension of the poor into consideration, which includes their particular developmental level, welfare provision, political set-up and the cultural and ideological climate of those involved. Underlid (2006) therefore links poverty reduction to the understanding and altering of the environments that affect the poor.

For Smith (2005), poverty is not a result of laziness but the difficulty to escape from consequences related to poverty like malnutrition, poor health, illiteracy and the lack of a political voice. Smith (2005) therefore regards poverty as a vulnerable position, which requires action that takes the immediate conditions and deeper causes of the poor person's underlying vulnerability into consideration.

Vasilachis de Gialdino (2006:484) suggests, on the other hand, that poverty needs to be defined in terms of, "how poor people live, how they perceive their situation and how they

think it should be modified". A poverty definition should therefore focus on how poor people perceive themselves, how they view those with whom they are interacting and how the poor define the actions of those with whom they interact, how the poor interpret the world around them and what the poor are expecting of the world. As such, poverty will be addressed by encouraging the poor to define their own needs and to determine for themselves the factors that impede the addressing of these needs (Vasilachis de Gialdino 2006).

The validity of poverty definitions is directly related to how poverty is measured and who is measuring it. Poverty definitions, as outlined in the examples above, are dependent on a specific way of measuring poverty as discussed in Subsection 2.2.1. Poverty definitions and poverty measurements bring understanding of the different types of poverty (Subsection 2.2.2). These different types of poverty are interrelated, which cause the poor to be entangled in a deprivation trap or a vicious cycle (Subsection 2.2.3). An understanding of the identity of the poor and stigmatisation explains the psychological dimension of poverty, and also outlines how the poor experience their poverty state (Subsections 2.2.4 and 2.2.5).

### *2.2.1 Measuring poverty*

The different ways of measuring poverty that will be discussed in this section include income poverty measures, capability approach to measure poverty, human development index, participatory poverty measures and social exclusion.

According to Van der Veen and Preece (2005), the most common method to measure poverty is by using a poverty line based on political and statistical standards. A poverty line is specifically used to measure income poverty and to compare the poverty status of different countries. The poverty line is consumption-based and focusses on two elements: the expenditure necessary to buy the minimum standard of nutrition, and the cost related to participating in everyday life.

Iceland (2005) believes that there is a vital place for income-based measures of poverty, since it is conceptually and practically more advanced than just looking at people's capability or social exclusion. According to Howe and McKay (2005), income poverty reflects the instability of income, and measurement of this type of poverty gives insight about the past, by referring to illiteracy, stunting and ownership of different categories of assets. However, Howe and McKay (2005) and Hulme and McKay (2005) view income poverty measures as inadequate in conceptual and practical terms, since such measures are likely to give an incorrect picture of poverty dynamics of households and populations. Income-based poverty

measures do not reflect the multi-dimensionality of poverty as and participation poverty measures do.

A capability approach to measure poverty developed by Sen (1985, 1997 and 1999) focusses on the measurement of the resources needed to function or the freedom to live a valued life. In this case, poverty is defined as the inability to obtain the minimal capabilities required, which refers to specific essential functionings, for example literacy and healthy living.

There are similarities between the income-based measures to measure poverty and the capability approach. Both of these take an individualistic approach since deprivation as well as lack of capability reflects the characteristics of individuals. Neither of these two approaches captures the fundamental causes or changing nature of poverty, but they both describe a situation as it appears at a certain moment.

The Human Development Index, which is based on the work of Sen (Laderchi, Saith and Stewart 2003), was developed by the UNDP (1990) to measure how per capita income relates to human development in different countries. The UNDP (1990) views people as the centre of development, while income is seen as a means to human well-being.

The first Human Development Report by the UNDP was published in 1990. It includes three indicators to measure human development: longevity (life expectancy), knowledge (literacy) and command over resources for decent living standards (per capita income, data related to access credit, income, land and basic goods and services like health care and availability of water) (UNDP 1990). Other indicators that were considered include political freedom, personal security, community participation and guaranteed human rights.

Even though the Human Development Index has its shortcomings and is criticised as being reductionist, not broad enough and similar to per capita income (even though it is a broader definition), it provides, according to Ranis, Stewart and Samman (2006), information on the general performance of a country.

Participatory poverty assessment is regarded by Booth, Holland, Hentschel, Lanjouw and Herbert (1998) as a useful tool in understanding poverty profiles and income or consumption-based measures, as it effectively portrays what it means to be poor. This type of poverty assessment influences the terms on which policy is decided since it gives a voice to the poor, bringing new stakeholders into the policy dialogue and challenging policy-makers and implementers to actively address incompatible and inconsistent perspectives. This encourages

mutual learning, empowerment, self-determination and increased efficiency of programmes (Laderchi et al. 2003). Hickey and Bracking (2005) state that it is more important to include the poor in elite political discourse than to include them in poverty assessments, as such discourse has more weight than the assessments, when the goal is to change structures that are affecting the poor.

Serr (2004) argues that poverty definitions, solely in monetary terms, are not adequate to impact the poor since such definitions mostly include the views of experts while excluding the views of the poor themselves. According to Johnson (2002), the poor are often categorised by policy-makers and development agencies to simplify the intervention design and implementation process since it is easy to work with a defined target. When individuals are classified into target groups, the complexity of their livelihoods is not taken into consideration. This fails to take individual strengths, weaknesses and desires for the future into consideration and does not encourage individuals to choose their own pathway out of poverty.

The poor do not focus as much on income terms, when defining poverty, as on the assets they use to cope with their specific situation (Vasilachis de Gialdino 2006). A study by Serr (2004:141) revealed that poor people's definition of poverty is often related to "economic well-being, vulnerability, powerlessness, the shame of dependency and social isolation".

Research by Vasilachis de Gialdino (2006:483) showed that the poor are "able to accurately depict their situation, since they have a highly developed reflective capacity". According to Vasilachis de Gialdino (2006), the following components need to be taken into consideration in order to understand the poor:

- experience of the poor's own progression in overcoming poverty, including rediscovering their skills, reinstating social bonds and redefining their own identity;
- the poor's relationships with those who deprive them of assets;
- the poor's refusal to define themselves as poor; and
- the poor's feelings in the process of discrimination and marginalisation.

An understanding of these components may create the best environment to encourage the poor to define their own needs and to determine the factors that prevent them from addressing those needs (Chambers 1995; Vasilachis de Gialdino 2006).

Social exclusion as a potential poverty measurement method is used to describe the process of marginalisation and deprivation of the poor. Atkinson (1998) points out three issues concerning social exclusion:

- it cannot be measured, since social exclusion is relative and pertains to a specific point in time;
- it is not necessarily due to being excluded, but they (the excluded, for example, the poor) can also exclude themselves; and
- it is dynamic and therefore takes into consideration not only present situations but also future prospects (in this case, the lack of future hope).

An operational framework for an understanding of social exclusion is suggested by Bhalla and Lapeyre (1997). This framework is multi-dimensional and consists of three interrelated dimensions namely economic, social and political aspects. The *economic* dimension includes large income inequalities and indicators that measure extreme household poverty. The *social* dimension includes goods and services (for example health and education), access to the labour market and indicators of social participation. *Political* dimensions encompass the denial of particular human and political rights, which includes discrimination against ethnic groups. According to Bhalla and Lapeyre (1997), this operational framework does not provide indicators to measure social inclusion.

The lack of indicators to measure social inclusion makes it unlikely to quantitatively measure social exclusion in an effective way. Social exclusion is, according to Laderchi et al. (2003), the least well-defined way of interpreting poverty and is rather society-specific. This requires that each country needs to identify specific dimensions to be considered as social exclusion factors.

Adato, Lund and Mhlongo (2007) recommend the use of qualitative poverty measures (participation and social exclusion) together with quantitative measures (income, capability and human index measures). Qualitative measures normally use small sample sizes, which make generalisations impossible. Quantitative data is interpreted using specific rules, but it is not clear what the data represents, and the validity of assumptions made in deriving the data are not proven. Qualitative measures, on the other hand, fill the gaps in quantitative data sets.

A study by Howe and McKay (2005) to measure chronic poverty in Rwanda shows the importance of using qualitative as well as quantitative measures. In the study it was found that

quantitative measures only show one side of the problem, for example the difference between rural and urban areas, the difference between the agricultural and non-agricultural sectors and between the genders, and the patterns of poverty in terms of consumption. The participatory methods gave an understanding of the poor's view of poverty and the factors that affect their welfare and their priorities in terms of the changes they would like to see. According to Howe and McKay (2005), the challenge is to combine the insights generated from the qualitative and quantitative measures in order to understand the multidimensionality of poverty.

**Reflection Box 2.1: A reflection on the measuring of poverty**

Poverty is defined in different ways depending on the context and goal that needs to be achieved. This has a definite influence on requirements and/or guidelines posed by poverty reduction policies and programmes as well as the outcomes of the interventions. Income measures can be used when a government wants to align its budget, priorities and policies accordingly. Income measures (as well as capability and human index measures) are linked to numerical values, which put emphasis on the outcome of intervention programmes (for example, improved statistics). Income measures can therefore be used to measure the change but not to set the interim objectives for the poor themselves to change. Participatory poverty measures appear to be the only method of measurement that informs how the poor visualise their own process of change.

**This leads to the following questions:**

- How do the definition and measurement of poverty influence the development system and practices of development workers?
- Which adjustments need to be made to the way poverty is measured so as to bring about the expected results to the development system, in other words to promote development workers' efforts in implementing programmes for poverty reduction?
- How can development workers measure poverty (not needs assessment but the measurement of poverty itself) to inform their policy implementation practices?

These questions were not specifically answered in this research but influenced the researcher's thoughts when the indicators to measure improvement of the destitute rehabilitation programme were discussed (Subsection 7.3.1.3) and recommendation for theory were made (Subsection 8.6.1).

### 2.2.2 Different types of poverty

Narayan and Petesch (2002) undertook a worldwide study to establish the multi-dimensional experiences of the poor. For them, poverty is linked to a lack of multiple resources that eventually lead to physical deprivation, a view that is supported by Chambers (1983) and Bhola (2005). The understanding of poverty is embedded in different types of poverty (Figure 2.2). These different types of poverty interact with and reinforce each other in complex ways (Narayan and Petesch 2002; Preece 2005). Figure 2.2 presents a way to capture these inter-relationships in diagrammatic form.

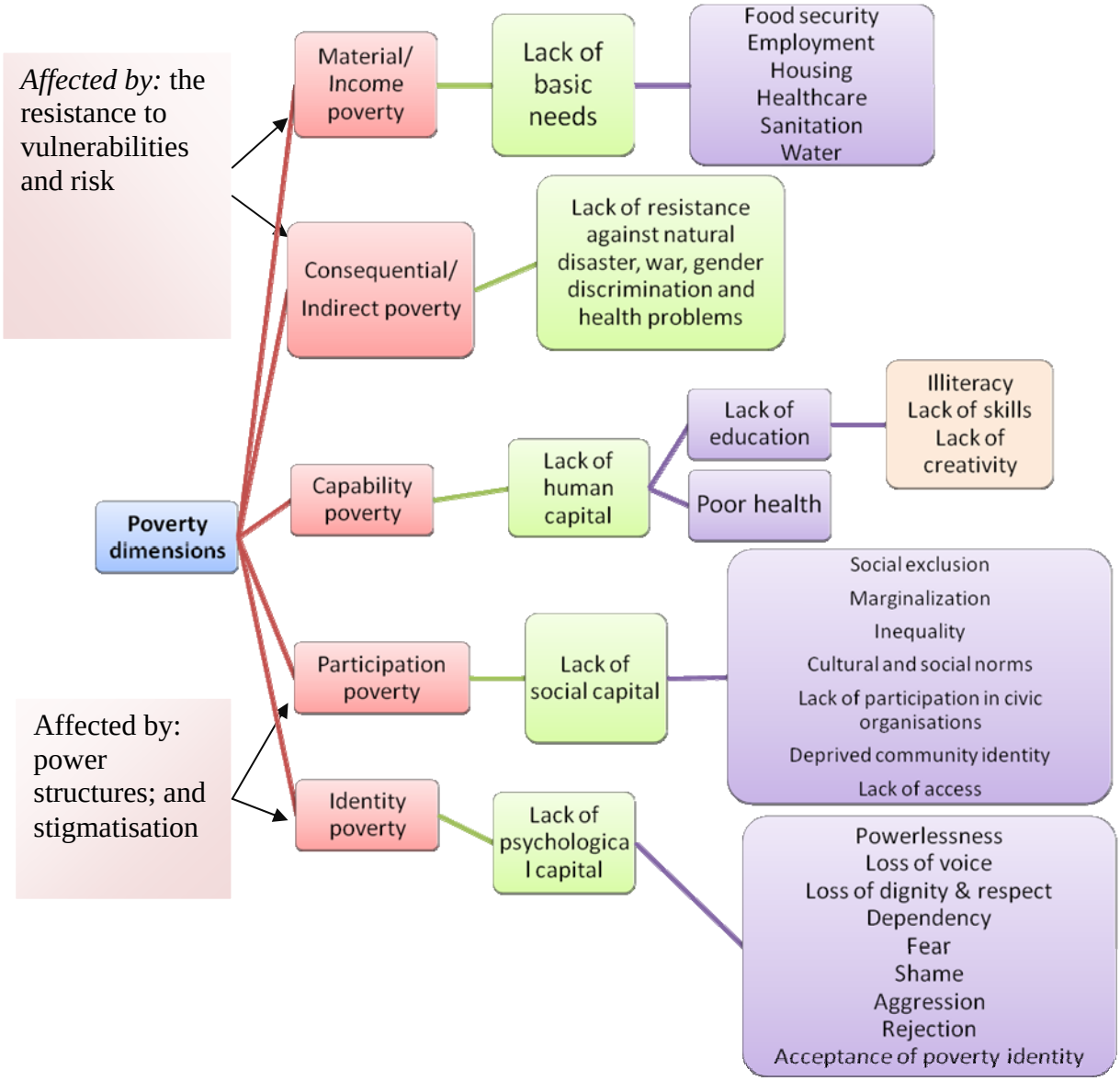



**Figure 2.2: An illustration of the different types of poverty and their subsequent dimensions**

As reflected in Figure 2.2, the main types of poverty are material poverty, consequential poverty, capability poverty, participation poverty and identity poverty.

#### *2.2.2.1 Material poverty and consequential poverty*

The most noticeable consequence of poverty is the lack of material and physical means, which forms the core of poverty (Forje 2004) (Figure 2.2). The lack of material and physical means may lead to wealth poverty and is due to a lack of physical capital or environmental capital. It may also be caused by consequential poverty or indirect poverty (Preece 2005), which refers to natural disasters or political interventions like wars, for example the civil war in Rwanda that directly contributed to poverty in the country (Howe and McKay 2005).

Food security, employment and material well-being are the three indicators used by Narayan and Petesch (2002) to establish the physical consequences of poverty as experienced by the poor. Physical consequences are also related to the absence of basic infrastructure (roads, transport, housing, water, and health facilities).

#### *2.2.2.2 Capability poverty*

Capability poverty refers to the lack of specific capability functionings. Sen's (1993) capability theory gives an understanding of capability poverty, which defines poverty as an inability to obtain minimal capabilities. This refers to specific essential functionings like literacy and healthy living (Sen 1993) (Figure 2.2). According to Tilak (2002:198), education poverty forms an integral part of capability poverty, which includes "low rates of participation of children in schooling, high rates of drop-outs and failures, low rates of continuation in schooling, low rates of achievement and exclusion of the poor from education". Educational poverty may thus lead to capability poverty and may exclude the poor from opportunities to have access to information and to acquire the necessary skills, knowledge and experience to join the work force and generate an income (Smith 2005). Education poverty is largely caused by income poverty, which causes the poor to have no access to education or to have access to poor quality education only (Tilak 2002).

#### *2.2.2.3 Psychological poverty*

According to Underlid (2006), the psychological dimension of poverty takes the experiences of the poor into consideration. Poor people's definition of themselves in the Narayan and Petesch study (2002) revealed different psychological consequences of poverty. Psychological needs are, according to Underlid (2006), concerned with deep-seated, general and continuous urges or desires, which may be conscious or unconscious and which are experienced cognitively (mind) and affectively (emotions). These are a lack of voice, power and independence (from outside support), which exposes the poor to exploitation, insecurity, fear,

social devaluation, inhibition or loss of autonomy and also feelings of guilt, sadness, shame and anger, which cause the poor to feel powerless (Narayan and Petesch 2002; Underlid 2006).

Powerlessness can be seen as a process of alienation and helplessness that often becomes self-perpetuating. The constant feeling of powerlessness may lead to the poor's acceptance of the power differentials, which may lead to minimal expectations of themselves and their environments (Rappaport 1987; Kroeker 1995; Brown 2005). The victims of powerlessness are vulnerable to the power of outside forces, since they have little control over events and conditions that are imposed upon them, such as economic, social and political decision-making.

A participatory poverty study by Serr (2004) revealed that the powerlessness, depression, lack of self-esteem and health problems that the poor experience cause them to use coping mechanisms to escape the tough circumstances they are facing. These coping mechanisms may include substance abuse, gambling, violence and crime.

#### *2.2.2.4 Participatory poverty*

The poor are also vulnerable to participation poverty, which is related to their inability to participate in decision-making processes. This causes the poor to be powerless and voiceless. The causes of participation poverty are directly linked to two factors. Firstly, organisations (including governance bodies) and communities may exclude the poor from information sharing and decision-making processes, or they may use communication approaches that cause the poor to feel powerless and stigmatised. Secondly, the poor may isolate themselves from decision-making opportunities due to shame, stigma, and humiliation and therefore do not expose themselves to opportunities to be included in decision-making processes (Serr 2004; Narayan and Petesch 2002). Exclusion to participate may also be a result of gender and racial discrimination.

The challenge is to apply community development approaches that will address all four different types of poverty and not only focus on material poverty, which is normally the first to be addressed (Figure 2.2). The different types of poverty do not feature in isolation, and one type of poverty may lead to the occurrence of another type of poverty, as discussed in the following subsection (2.2.3).

### *2.2.3 Poverty as a vicious circle*

Burkey (1993) refers to the development and occurrence of poverty as a vicious circle. The occurrence of one type of poverty, for example the lack of material assets, may contribute to the development of another type of poverty. Chambers (1983) calls the vicious circle of poverty "deprivation traps", which include the following clusters of poverty experiences:

- lack of access to assets;
- physical weakness (disability, illness and malnutrition);
- isolation (remoteness, being out of contact, lack of access to information, education, opportunities and resources);
- vulnerability (open to economic shock and health hazards); and
- powerlessness (lack of knowledge of laws, exploitation by those more powerful and a lack of control over means of survival).

Chambers (1983) states that a lack of access to assets is a strong determinant of the other clusters. Physical weakness leads to vulnerability and powerlessness. Isolation contributes to vulnerability and sustains poverty, because of a lack of access to different resources to overcome poverty. Vulnerability may lead to a lack of assets and to powerlessness because of the dependency it causes (Sen 1999). Powerlessness limits access to assets, and may reinforce physical weakness and isolation.

Burkey (1993) describes specific vicious circles (deprivation traps), which may prevent the poor from overcome poverty. The first one is the vicious circle of disease, where poor health leads to low production, which leads to low income, which in turn leads to low taxation, which may cause a lack of investment in health facilities.

The second one is the vicious circle of economic constraints. This may include a low income, which leads to a lack of assets, lack of credit, lack of capital, low investment, which further leads to a lack of skills, low productivity and a lack of employment. Smith (2005) also describes lack of credit, uninsurable-risk traps, debt bondage traps and a lack of information traps as factors that impede the overcoming of an economic vicious circle.

The third vicious circle described by Burkey (1993) is the vicious circle of illiteracy. This includes a lack of knowledge, that leads to a lack of skills, awareness, self-confidence and creativity, which in turn leads to low production, low income and the inability to pay school fees, which lead to illiteracy. Columbe and McKay (1996) also found in their Mauritania

poverty study that the poor's illiteracy and their dependency on outside sources are linked and need to be solved simultaneously. Deininger and Okidi's (2003) poverty reduction study in Uganda showed that education needs to be combined with the reduction of civil conflict and access to other infrastructures, like electricity, in order to become fully effective to influence the vicious circle within which poor people find themselves. This Uganda example shows that when one type of the poverty is experienced (for example education) it is important to identify and address additional aspects (for example civil conflict and access to infrastructure) that are directly linked to the poverty experienced and which form part of the vicious cycle of poverty.

The subsequent discussion describes the psychological effect (formation of poverty identity) of the vicious circle and poverty traps that impede an escape from the consequences of poverty.

### *2.2.4 Poverty identity*

*Poverty identity* refers to the way the poor see themselves, which guides their actions and self-acceptance. The formation of the identity of the poor includes the establishment of attitudes, expectations and values that are attached to the daily lives of the poor (Preece 2005). A study by Brown (2005) showed that when individuals accept the reality of being poor they will inculcate poverty in their identity after the process of exploration, post-exploration, acceptance, post-acceptance, turning point and integration. They become trapped in poverty, feel helpless and lose their dignity. The identity of the poor develops as individuals work through conflicts, stigmas and stresses that are related to their poverty conditions. Such identity forms as adults are resolving feelings of rejection, of the stigma associated with being poor, of the denying of their social rights and of the rights of having a political voice and the physical consequences of deprivation and of severe stress on social relationships.

Power exerted on the poor by outsiders (government and donor agencies), such as the approving or denying of social aid and the development of policies that determine the poor's futures, causes disregard of the poor's dignity and identity (Vasilachis de Gialdino 2006). Lister (2004) and Vasilachis de Gialdino (2006) urge that the poor should rather be viewed as most qualified to give insight into their own lives (based on their own experiences) instead of being viewed as objects of professional judgement, research and policy or as passive victims who cannot take ownership of their own problems. In the case where the poor's own attempts to overcome poverty are not taken into consideration, their identity is constrained and distorted and they are discriminated against through disownment actions of their identity.

These disownment actions cause them to be more deprived. The challenge is to view the poor not as instruments of charity or government activity, but as individuals who require specifically designed solutions against poverty (Vasilachis de Gialdino 2006).

It is thus suggested that identity formation of the poor is a result of the circumstances within which they find themselves, as well as the way that policies and practices are designed to assist the poor. This shows the importance of understanding the poor, not only in terms of their (destitute) immediate needs, but also in terms of their experiences of their poverty state. When the identity of the poor and their experiences are not taken into consideration, assumptions are made about them. The next subsection describes stigmatisation where opinions are formed of people with certain attributes (like the poor in this case).

### *2.2.5 Stigmatisation*

Stigmatisation is discussed in this subsection to describe what the poor may experience as a result of action of judgment taken when someone possesses an attribute that makes such person different or weak and when the person is valued as less than "normal" people (Goffman 1963). The act of stigmatisation is based on expectations and social norms of communities (Waxman 1983). Social norms set the standard for what is acceptable within a certain community and what influences the way social assistance recipients view themselves.

Stigmatisation may lead to economic inequality, social exclusion and discrimination (Bird, Hulme, Moore and Shepherd 2002). As a result, stigmatisation is personally, socially and interpersonally detrimental, and those who are stigmatised may question their own humanity (Waxman 1983; Crocker, Major and Steele 1998).

According to Goffman (1963), stigmatised people share the same type of problems and make use of one of three common strategies to solve their problems, namely:

- associating only with those possessing the same stigma;
- hiding their real identity in order to prevent stigmatisation; and
- living according to the expectations of those who stigmatise them.

The challenge is for development workers to be aware of the strategy the poor (destitute) use to deal with stigmatisation in order to mitigate the behaviours resulting from stigmatisation.

The various approaches that are used to define, measure and solve poverty are often connected to a stigma, which has a direct impact on the outcomes of poverty intervention programmes (Johnson 2002).

**Reflection Box 2.2: Reflection on the identity of the poor and stigmatisation**

The way the poor see themselves (poverty identity) may be affected by the practices of development workers and government structures and policies (Figure 2.3). On the other hand, the way the poor see themselves may also affect the way the development workers see the poor, which, in turn, will influence the development workers' practices. It is therefore important that development workers take the experiences and perspectives of the poor into consideration.

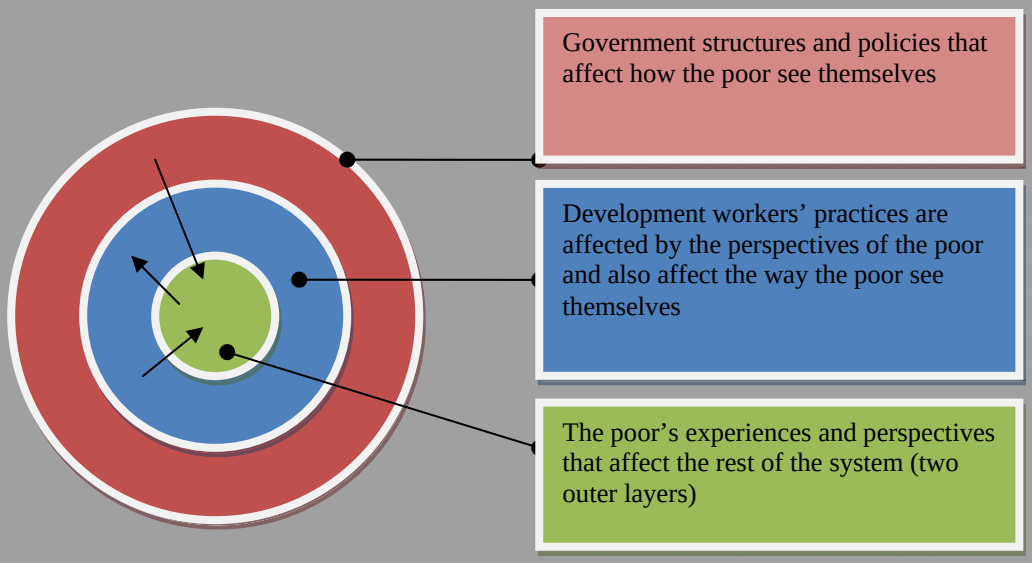



**Figure 2.3: The poor, development workers and government system: an illustration of how the poor's beliefs and experiences affect the rest of the system**

**Questions:**

- How does poverty stigma impede poverty reduction efforts as initiated by development workers and the government (the two outer layers)?
- Do the practices of development workers and government structures and policies contribute to stigmatisation of the poor?
- How do the two outer layers (government structure and development workers' practices) affect the level of participation by the poor?

Even though these reflection questions were not directly answered in this research, it produced insight that informed the theoretical framework (Figure 4.6) and recommendations for further research (Subsection 8.6.4).

## 2.3 Strategies to use for poverty reduction

According to Lavinas (2003), poverty reduction policies and programmes need to be of such a nature that they demolish the mechanisms that perpetuate poverty in the first place.

De Beer (2003) as well as Alsop and Heinsohn (2005) listed several principles that can be used to test whether development efforts are geared towards encouraging empowerment when strategies to use for poverty reduction are identified. These are:

- addressing abstract needs in addition to addressing concrete needs (the means of achieving this principle is discussed in 2.3.2, where the welfare and development social welfare [DSW] approaches aim to address concrete needs, and the liberation and transformation approaches aim to address abstract needs);
- encouraging learning to take place by involving all participants, including community development facilitators, government officials and community members (this is best promoted through participatory development [Subsection 2.3.1] and the liberation approach [Subsection 2.3.2.3]);
- adopting an adaptability approach to allow flexibility, creativity and adjustment. This is a contradiction to the blueprint approach, which leaves very little room for adjustment to changing circumstances or for participation by the target groups (Korten 1990; Kotze and Kellerman 1997) (discussed in 2.3.1); and
- determining whether the target group has access to choices (encouraged through the welfare and DSW approaches as outlined in 2.3.2.1 and 2.3.2.2), converting the choices into action (encouraged through the liberation approach as outlined in 2.3.2.3) and achieving the acquired results (encouraged through the transformation approach as outlined in 2.3.2.4).

Participatory development and empowerment as a holistic approach (Subsections 2.3.1 and 2.3.2), as strategies to poverty reduction, are designed to address these four principles.

### *2.3.1 Participatory development*

According to Chambers (2007), participation is a powerful medium to encourage the changing of power relations and behaviours of those involved in the participation process and essential for understanding the different dimensions or indicators of poverty as experienced by the poor (Mayoux and Chambers 2005).

Participatory development focusses mainly on putting the last first (Chambers 1983; Burkey 1993), referring to grassroots groups as those who:

- understand their problems best (Vasilachis de Gialdino 2006);
- have the best solutions to fix such problems (Castelloe, Watson and White 2002); and
- work together with external agencies to take control of decisions and resources and to lead their own development process (Chambers 1997; Narayan 2002; Tembo 2003).

This involves initiatives that are stimulated by the community's own thinking by moving decision-making closer to the communities (where the problems are experienced).

Participation requires the people's involvement in the entire decision-making process in all stages of development, namely the research stage, the analysis of needs, development of strategies, implementation, monitoring and evaluation (Cohen and Uphoff 1977; Mooka 1995). This encourages critical analysis and reflection, in-depth understanding of situations, and insight that can lead to new practices, inspired by one's own understanding. Participation does not take place when individuals are attached to processes where the agendas are already set, the issues defined, and the outcomes limited (Kasperson and Breithart 1974); much rather intervention is an ongoing, socially constructed process.

Passiveness, a negative attitude and resistance to participation is the result of intervention that is simply the execution of an already specified plan of action, with expected outcomes and a supposedly ongoing, socially constructed and negotiated process (Kasperson and Breithart 1974). This leads to learned helplessness or a culture of silence, which means that the poor become so used to being excluded from programmes that it is difficult for them to view themselves as partakers in development processes. Instead, it becomes a comfort zone where they can receive and comply rather than negotiate their needs and expectations (Lekoko and Van der Merwe 2006).

According to Narayan (2002), there is the tendency among government agencies to revert to centralised decision-making and to hold endless public meetings without any impact on policy or resource decisions. In this sense, participation turns into another cost to the poor without any return. Hastings, McArthur and McGregor (1996) state that community developers need to be careful not to overload community members in terms of calls on them to participate in a range of new programmes and initiatives that may result in participation fatigue. This may lead to ineffective community development efforts.

According to Ghai (2003), the real problem with ineffective participation is not the lack of resources, but the political exclusion of the poor and the lack of administrative and technical capacity on the part of the government to formulate strategies and programmes and to co-ordinate and monitor the strategies.

Siphambe (2003) describes the structures that are in place in Botswana and which are geared towards participation in policy development and implementation. This is done through traditional structures such as kgotla meetings (public meetings led by the village chief and the Village Development Committees). However, the type of participation encouraged in this way, still remains to be seen. Pretty (1995) distinguished seven types of participation:

- passive participation (people's responses are not taken into consideration, they are rather told what is going to happen or has already happened);
- information giving (participation by answering questionnaires or interview questions with no opportunity to discuss them);
- material incentives (people take part for receiving incentives, there is no learning involved);
- participation through consultation (people are consulted to share their views, but they are not included in any decision-making processes);
- functional participation (people participate by forming working groups to achieve objectives);
- interactive participation (joint ownership in programmes by local people, including research, needs analysis, development of strategies and evaluation); and
- self-mobilisation (people taking initiatives to make changes).

The first four types of participation are described as participation at a low level since it encourages limited participation, while the last three are described as participation at a higher level, since the participation of communities is regarded the essential aspects of the development process. It is evident that participation as encouraged by the kgotla meetings is limited and it refers to consultative participation. Minority tribes and women are not allowed to take part in public meetings and many policies discussed at these meetings are at a level too high for some community members to understand (Siphambe 2003). Ferguson-Brown (1996) also states that the government of Botswana dictates development and that the policies related to development are not a result of autonomous community decisions and expectations. This statement is also confirmed by a phenomenological study by Lekoko (2005), where

development workers acknowledged that policies and programmes are imposed upon the people.

A similar scenario was found in Uganda, as described by Cornwall and Brock (2005), where a process called *participatory, bottom-up planning* only included a presentation in English (not the local language), with no encouragement for participants to be involved in discussions. Even though ownership of intended policies and programmes were intended by government officials, the processes applied were not accordingly. This can be seen as an example of passive participatory planning.

The following discussion (Subsection 2.3.2) describes a holistic process where the type of participation differs with each strategy applied. The idea is to change the level of participation as the choices (related to resources and human capabilities) of community members increase.

**Reflection Box 2.3: Reflection on the application of participatory approaches**

In the preceding discussion, it is clear that participation is not a result of individuals taking part in groups to implement projects or individuals who are asked to express their needs. Authentic participation requires that individuals participate in research, analysing needs, developing strategies and evaluating implementation. Authentic participation encourages critical analysis and reflection, in-depth understanding in situations and insight that can lead to new practices as inspired by one's own understanding.

However, it is more important to understand the perspectives of the facilitator than to understand the methods that bring about participation. If the development workers' perspective of the destitute is that they (the destitute) are lazy and dependent, the development workers will use approaches that fit this perspective, even though they know, in terms of theory, which approaches are right. If the perspectives of development workers are that the poor have the ability to take part in their own development process and shape their own future, approaches will be employed to challenge the perspectives of the poor (Figure 2.4).

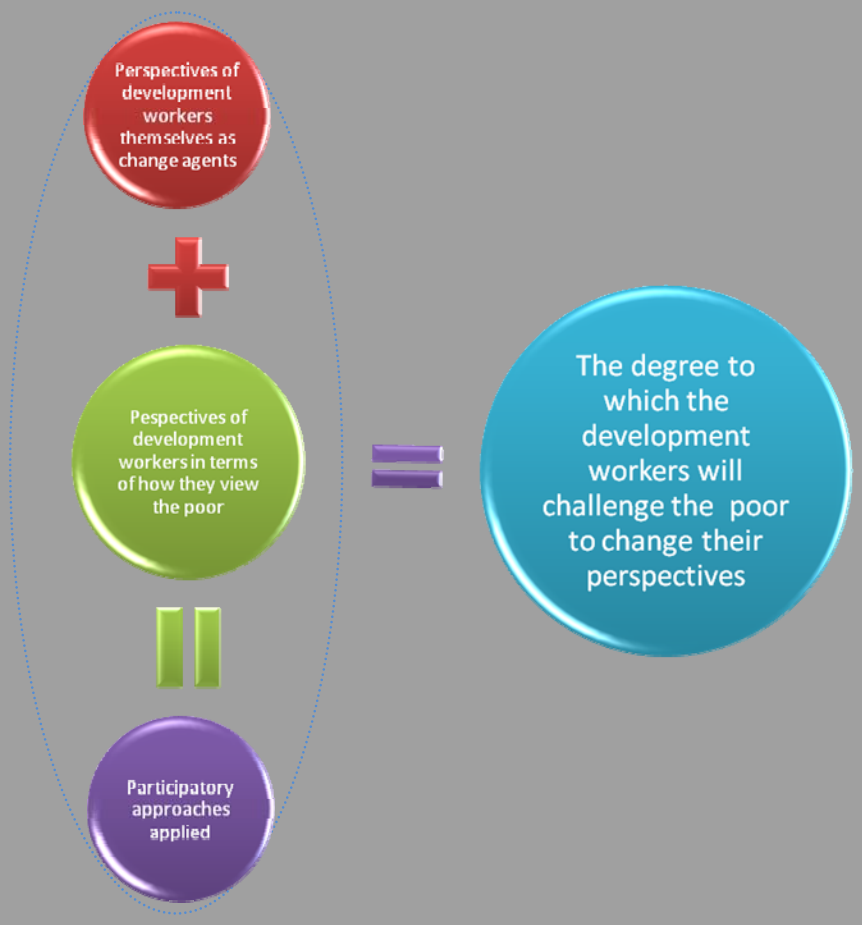



**Figure 2.4: The effect of the perspectives of development workers on the participatory approaches applied**

This reflection box influenced the development of the theoretical framework (Figure 4.6) of this research and informed the interpretation of data related to the perspectives of development workers.

### *2.3.2 A holistic approach to empowerment*

In the process of developing human and social capital, group development and interaction with other in a similar situation are essential. There are, according to Pretty and Ward (2001), three different development stages which describe the internal dynamics of group development, namely reactive-dependence, realisation-independence, and awareness-interdependence.

*Reactive-dependence* (first stage) refers to groups that form as a result of the prompting of an external source (for example, government), which causes the group to look for external

solutions and to depend on external facilitators. This stage might refer to what happens in the welfare approach (Subsection 2.3.2.1).

*Realisation-independence* (second stage) refers to the development of independence together with the emergence of capabilities. Individuals tend to become more aware of their own capabilities. During this stage, rules come from the groups themselves, trust develops and individuals spend more time with the group. This stage is a result of the developmental social welfare approach (Subsection 2.3.2.2) in conjunction with the liberation approach (Subsection 2.3.2.3), where there is less emphasis on external help and more emphasis on the development of internal capability.

The third stage (*awareness-interdependence*) is related to the liberation and transformation approaches where individuals start to appreciate the group. This enables individuals to initiate new groups and to help other groups as well as to stay linked to external agencies and to resist external power and threats. This is a result of new perspectives and ways of thinking which suggest that the liberation and transformation approaches are applied (Subsections 2.3.2.3 and 2.3.2.4).

The discussion above suggests that different approaches need to be applied to lead individuals from dependency to the change of perspectives. A holistic approach is proposed that would take the level of development of the poor into consideration to prepare them to actively participate in such a way that their perspectives will be changed. Table 2.1 describes four different community development approaches as proposed by different authors (Hope and Timmel 1984; Korten 1990; Chambers 2005 [as based on the work of Groves and Hinton 2004]).

Korten (1990) uses the concepts *relief* and *welfare*, *community development*, *sustainable systems development* and *people's movement*. Chambers (2005) uses the concepts *benevolent for welfare*, *participatory for partnership*, *rights based for empowerment* and *obligation based for responsibility*. Hope and Timmel (1984) use the concepts *welfare*, *development*, *liberation* and *transformation*. For the purpose of comparing the concepts used by these authors, the third stage and the fourth stage of Chambers (2005) were swopped.

**Table 2.1: A comparison between different community development approaches as proposed by three different authors**

| Stage | Hope and Timmel (1984) | Korten (1990) | Chambers (2005) |
|---|---|---|---|
| **One** | *Welfare approach*<br><br>Reliance on an authority (government) to help the poor relieve immediate suffering. | *Relief and welfare*<br><br>Immediate but short-term intervention to help an individual or a family. | *Benevolent for welfare*<br><br>A technical blue-print approach is used to provide funds and assistance to beneficiaries. |
| **Two** | *Development approach*<br><br>Help people to help themselves through technical training where there is a lack of education and opportunities and inadequate technology. | *Community development*<br><br>Develop the capacity of a community through education and involvement in projects to overcome local inertia. | *Participation for partnership*<br><br>A social and consultative process with the emphasis on the programme implementers. |
| **Three** | *Liberation approach*<br><br>Encourage the overcoming of exploitive structures where there is oppression and domination. | *Sustainable systems development*<br><br>Aim to solve deep structural issues, institutional and policy constraints through strategic management. | *Obligation based for development*<br><br>Critical reflection and experiential learning of main concepts; learning from others but also guiding them. |
| **Four** | *Transformation approach*<br><br>Challenge the building of alternative economic, political, legal and education structures where there are inadequate structures and processes. | *People's movement*<br><br>Coalescing and energising self-managing networks of people and organisations to move beyond mere changes in policies and institutions by having a common vision. | *Rights based for empowerment*<br><br>Aim to influence governments and to empower people through negotiation. |

The general focus of the first stage (welfare approach) is the giving of handouts to help the poor as a family or as an individual concern. The second stage focusses on the education of

people through training projects as a community concern. The third stage focusses on the questioning and challenging of systems that cultivate oppression as a national concern. The fourth stage focusses on the informing of new systems as a global concern.

The concepts *welfare*, *liberation* and *transformation* as coined by Hope and Timmel (1984) are used in this research to distinguish between the different community development approaches. The term *developmental social welfare* (DSW) approach (as used by Midgley 1996) is used to describe the *development approach*, since the term *development approach* is broad with many different meanings. According to Midgley (1996), the DSW approach focusses on the development of integrated social and economic policies, where economic development will have a positive effect on social welfare. This implies development of human capability through training to enable the beneficiaries of social welfare to have access to economic development.

Therefore, the terms *development* and *DSW* (as used by Hope and Timmel 1984; Midgley 1996) pertain to the same goal. According to the *South African White Paper of Social Welfare* (cited in Vorster 2000), DSW describes the promotion of equal opportunities and access to resources for the poor to address their needs, to provide choices and alternatives to the poor, to enable them to be less dependent on government assistance and to develop their skills. The Department of Welfare (cited in Vorster 2000) describes the purpose of DSW as encouraging rehabilitation, prevention and developmental protective services and facilities. Vorster's (2000) definition includes rehabilitation and prevention. Hunter, May and Padayachee's (2003) understanding of DSW include the last aspect of the Department of Welfare's definition, which focusses on social assistance to the elderly and the disabled and development of infrastructure.

This research regards this definition by Hunter et al. (2003) as part of the welfare approach, and the definition based on Vorster's (2000) work (rehabilitation and prevention) as part of DSW approach. Prevention and rehabilitation are regarded as not only the results of the DSW approach but also of the liberation and transformation approaches.

The expected outcomes of each community development approach as well as the process that is required to produce those outcomes are outlined in Figure 2.5. Each approach is considered in detail in the subsequent discussion.

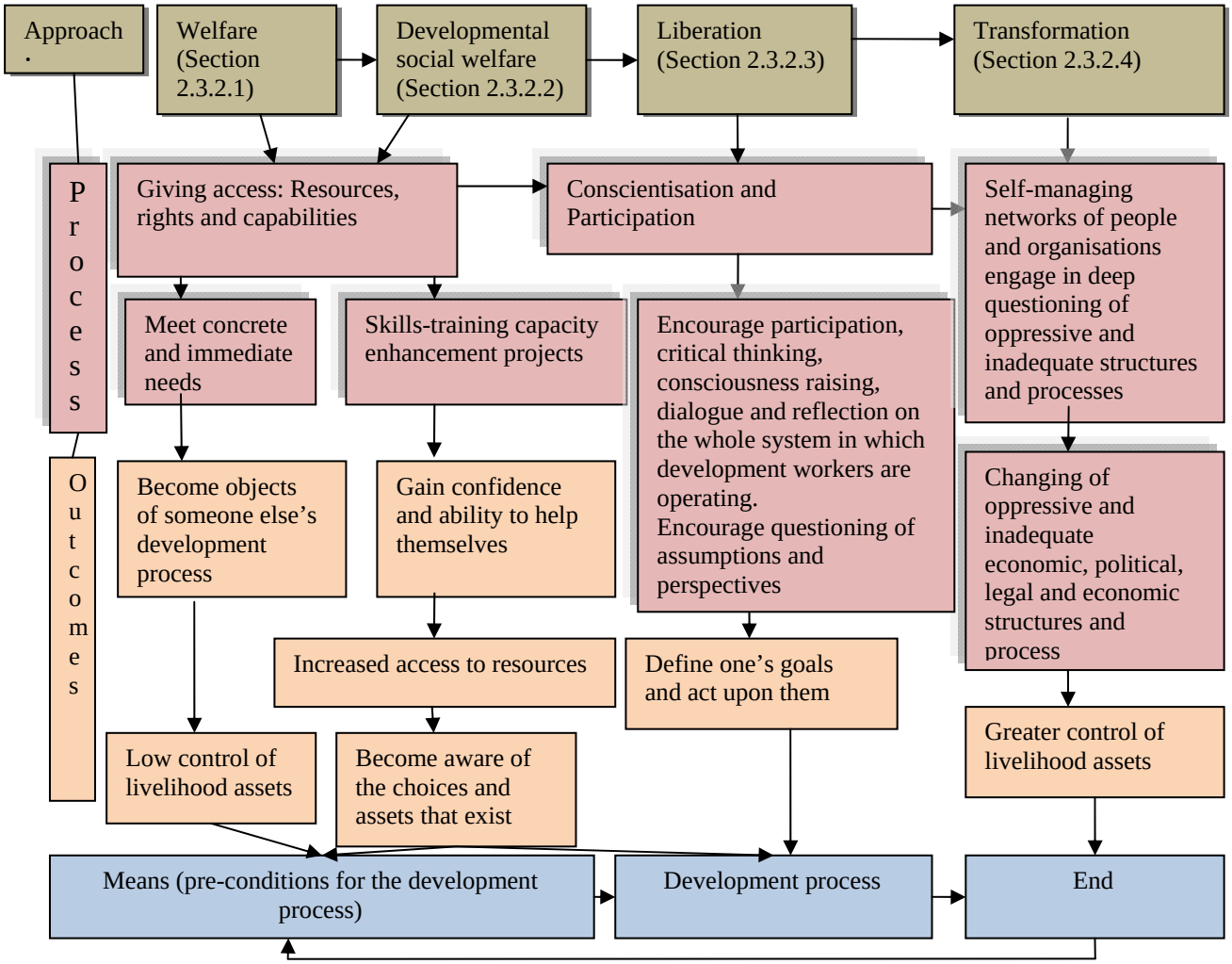



**Figure 2.5: The holistic nature of the four community development approaches**

### *2.3.2.1 The welfare approach*

The welfare approach refers to the immediate intervention by government or development organisations to help individuals or families (Hope and Timmel 1984; Korten 1990). The welfare approach is paternalistic by nature and focusses on addressing concrete or immediate needs to relieve the symptoms caused by poverty (Hope and Timmel 1984; Korten 1990; Chambers 2005). The approach is mainly based on the giving of handouts without any involvement on the side of the receivers (Chambers 2005). For example, in Botswana this could refer to food assistance programmes where handouts are given to destitute individuals and families.

The welfare (handout) receivers are likely to ascribe their problems to circumstances beyond their control or to ill luck (Hope and Timmel 1984). Mameli (2001), Spicker (2001), Ghai

(2003), Smith and Subbarao (2003) as well as Wheeler and Haddad (2005) suggest a number of reasons for applying the welfare approach:

- to fill the deepest part of the poverty gap by reducing inequality and stigmatisation and promoting social integration (for example in Botswana, economic growth did not have a trickledown effect throughout the country and social welfare policies protect the most vulnerable members in a society [Duncan, Jefferis and Molutsi 1997]);
- to protect the poor against major shocks and disasters (for example death of a breadwinner, accidents and unexpected sickness, floods, hurricanes, droughts and earthquakes);
- to protect the poor from high-risk activities (like child labour and informal economic activities); and
- to provide for basic needs of the poor (education, nutrition, clean water, adequate sanitation and housing).

The application of the welfare approach is thus only a temporary measure to relieve the immediate consequences of poverty.

There are several safety net (social welfare) programme options to relieve the immediate consequences of poverty, namely:

- cash transfers;
- food distribution programmes (free food distribution, direct feeding programmes, school-based food programmes, food stamps, food for work);
- subsidies (food, health and education), subsidised agricultural inputs or vouchers (free packs); and
- community-based public work programmes and micro-finances for income-generation projects (small micro enterprises) (Tabor 2002; Hunter et al. 2003; Smith and Subbarao 2003; Adato, Ahmed and Lund 2004).

Tabor (2002) distinguishes between two different types of cash transfer programmes, namely social insurance and social assistance programmes. Social insurance programmes are programmes that are financed by employees themselves for specific categories. Social insurance programmes can either be employment-related (pension, maternity leave, severance pay, family allowance and workplace injury), universal (payment independent from income or

employment) or means-tested (eligibility for individual or family benefits related to subsistence needs).

Social assistance programmes refer to payments made to specific designated groups, for example the destitute, disabled, orphans and the elderly. Social assistance programmes are either regulated by government legislation or provided on a voluntary basis. This research focusses on the social assistance programmes only. The following discussion outlines social assistance programmes as applied by different countries as well as the outcomes that can be expected when the welfare approach is applied.

**i) Social welfare programme as applied by different countries**

South Africa and Botswana are of the few developing countries that provide cash transfers as part of the social assistance system (Budlender 2000; Vorster 2000; Ministry of Local Government 2002b; Hunter et al. 2003; Olivier and Mhone 2004). These two countries also promote application of the developmental social welfare approach by focussing on the capacity development of people through skills training and development of income-generation projects (Vorster 2000; Ministry of Local Government 2002b, 2002a) (detailed discussion in 2.3.2.2).

South Africa (Bak 2004) and Botswana (Ministry of Local Government 2002b) provide cash transfers to certain designated groups, since these countries realised that the extended family system is not a major safety net in communities. However, the government of Botswana encourages families to support family members that cannot fend for themselves. Developed countries like Singapore, Hong Kong, Taiwan, Korea and China do not make it government priority to meet the social needs of the sick, the incapable and the elderly, but view it as the responsibility of communities. These countries only provide relief for the social needs of the poorest populations (Ghai 2003).

Zambia is also following this latter approach, by regarding the extended family the main support for those who live in the subsistence economy, those who are unemployed, or widows or orphans (Chisupa 2004). Those in Zambia who are part of the public welfare assistance scheme are all older than 55 (Chisupa 2004) and are mentally and/or physically handicapped. Only 15% of the Zambian population forms part of the formal employment sector, due to a lack of diversification (Robinson 2003). This makes it impossible for the government of Zambia to cover the remaining 85% (unemployed, informal sector and vulnerable groups, for example orphans, the elderly and widows) through a social security programme (Chisupa

2004). This explains why the government of Zambia focusses on the development of income-generation projects (as is the case in Botswana and South Africa [Budlender 2000; Ministry of Local Government 2002a]).

Tanzania also has a shortage of funds to provide social grants to certain designated groups. Tanzanian social policies are, for this reason, mostly linked to employment-related social insurance programmes (Tungaraza 2004). This explains Tanzania's PRSP (*Poverty Reduction Strategy Paper*) (Government of the United Republic of Tanzania 2000), which has no link with social assistance, but which focusses mainly on economic development strategies and human development strategies. The economic-related strategies include sustaining macro-economic stability, rural sector development and export growth as well as private sector development. The improvement of human capability includes improvement of in-service delivery facilities and budget support for social services.

The biggest social welfare programme in Mozambique is the provision of food assistance. Other programmes specifically target older people, children, women, the disabled and ex-prisoners, if they do not have access to any assistance and are not able to work (Lavinas 2003). Programmes for children include welfare payments for the family when school-age children attend school. This programme is adopted from Brazil and Mexico, and specifically aims to decrease child labour. These programmes in Mozambique are not a result of the government's capacity for intervention but depend on donor support (Lavinas 2003).

The social insurance programmes in Malawi are mainly related to food security programmes (for example nutrition supplements, food for work, free food distribution, free agriculture inputs) and public work programmes (Robinson 2003; Kanyongolo 2004). The government also provides free health care services (Kanyongolo 2004). A constrain related to social welfare programmes in Malawi include the lack of a clear, structured and comprehensive policy framework. This constrain may aggravate the problem of excluding poor people (Kanyongolo 2004). The lack of a comprehensive approach is also reported by Olivier and Mhone (2004) as an obstacle in the South African social welfare system, since many poor people are still left unassisted despite all the projects underway (Budlender 2000).

The success of social welfare programmes is dependent on resource availability, institutional and administrative structures and the political environment (Adato et al. 2004). Developed countries like Kuwait and Saudi Arabia use part of their oil wealth to provide free education, health services and family allowances, and to correct unequal wealth distribution (Ghai 2003).

This is similar to Botswana, which is using diamond revenue for free education (tertiary), health services, provision of clean water and free antiretroviral treatment (Mogae 2006; Organisation for Economic Co-operation and Development 2006).

In a study in Italy, Kazepov (2001) found that the most crucial function when administering a social welfare system is the management of information through monitoring. This will enable better planning of social policies. Kazepov (2001) found that only a few of the cities in Italy had monitoring systems in place, and in some cases, the monitoring systems simply did not exist. Other problems were the lack of suitable staff, a lack of consistency in terms of the criteria used and the fact that the laws that regulate implementation of social welfare programmes are not applied (Kazepov 2001). These problems in Italy highlight the importance of not only having policies in place to assist designated groups but also having an adequate system in place to support the policies.

Ghai (2003) also states that resources are not the major element influencing successful social welfare programmes but success rather depends on the administrative structures in place. Administrative structures include the ability to administer and implement the social welfare programmes, which involve the ability to allocate resources to priority programmes, management, accounting and financial skills as well as competence and integrity and the ability to coordinate and monitor programmes (Ghai 2003; Smith and Subbarao 2003; Adato et al. 2004).

In addition, Wheeler and Haddad (2005) emphasise the importance of taking the resources and the priorities and preferences of the poor into consideration when social programmes are designed. This suggests that the poor could take part in designing, implementing and evaluating welfare programmes (Conning and Kevane 2002).

**ii) Expected outcomes when the welfare approach is applied**

The employment of the welfare approach (without application of subsequent approaches, for example developmental social welfare and liberation approaches) prevents the poor from taking responsibility for their actions, since it provokes dependency and a naïve, alienated or suppressed consciousness (Hope and Timmel 1984). In this case, the poor regard the authorities as the power force to change their situations and therefore never learn that they themselves have the power to change their own circumstances. This cannot be regarded a way of empowering the rural community, since it is rather an open-your-mouth-and-eat syndrome

(in Botswana known as “atlhama-ro-je”) where communities passively receive social assistance (Lekoko and Van der Merwe 2006).

Social welfare organisations are, according to Adato, Carter and May (2006), helpful, but do not provide any structural changes. This is mainly due to receivers of welfare who are not concerned with trying to classify their problems as social or political problems but rather classify problems in economical terms. Smith and Subbarao (2003) further state that safety nets will not address the root causes of poverty, for example low incomes, low productivity of labour and insufficient education. However, safety nets can be justified as an interim arrangement for overcoming the immediate consequences of poverty while developing countries aim to increase labour-absorbing growth as a lasting solution.

The welfare approach contributes to a low level of empowerment, namely individual empowerment on a materialistic level (Kroeker 1995; Zimmerman 2000). Individual empowerment on a materialistic level involves the meeting of immediate and concrete needs, increasing resources and eradicating the symptoms of poverty. Empowerment does not occur if it remains at this level (Kroeker 1995) even though it is an important part of the empowerment process (Bak 2004).

The assistance by governments is not discouraged, but it is essential to do more than give handouts in order to move poor communities from this welfare stage to other stages. The importance of using succession approaches to the welfare approach is explained by Brown’s (2005) study. It showed that, when individuals accept the reality of being poor and become dependent on the welfare approach, the targeted poor will inculcate poverty in their identity. They become trapped in poverty, feel helpless and lose their dignity. Dependency on the welfare approach can be changed by applying the developmental social welfare approach (DSW approach) which involves the breaking of the culture of silence and enables people to gain skills (Hope and Timmel 1984).

Adato et al. (2004) provide an example of how the welfare approach and the DSW approach are used in conjunction in Bangladesh. The poorest women in Bangladesh are offered wheat rations for two years. During this period, they are encouraged to form saving groups and they are also given training on income-generating activities.

#### *2.3.2.2 The developmental social welfare approach*

The developmental social welfare (DSW) approach concentrates mainly on the teaching of skills and knowledge to individuals and families so that they will be able to enter the commercial market or to start their own entrepreneurial projects (Hope and Timmel 1984). It is usually applied in circumstances where there is a lack of education, lack of resources that cause a low standard of living, lack of opportunities and inadequate technology. The DSW approach helps people to help themselves and contributes towards production and equal opportunities. By so doing, the different types of concrete needs are met but addressing of these needs deals only with the symptoms of problems and not with the causes.

Skills training is used, for example in South Africa and Botswana to improve small micro-enterprise-related skills. In Ghana, skills training is used to promote work opportunities and high-quality skills in the informal economy, and in Somalia, to employ people to regenerate the natural environment (Vorster 2000; International Labour Office 2007). Botswana is engaged in deliberate efforts to provide education to out-of-school adults. The Department of Non-Formal Education, for example, gives access to out-of-school youth and adult basic education related to literacy and informal work-sector skills (Maruatona 2007). The Local Enterprise Authority (former Integrated Field Services) focusses specifically on skills in the garment industry, and the Department of Women Affairs focusses on skills that help women in the non-formal employment sector (Ministry of Education and Skills Development 2008)

The DSW approach is not overly concerned with improving the living standards of residents through their active participation. The DSW approach for example, will never propose that the government should listen to the people and that the expertise should come from the grassroots. It does not encourage participants to question systems and beliefs – the participants become aware of inequalities and injustice but they do not seek to understand why they are experiencing them (Freire 1970; Korten 1990; Hope and Timmel 1984). This stage targets individual behaviour rather than collective actions (Kroeker 1995; Zimmerman 2000). This does not encourage people to stop depending on and trusting in experts and authorities (Hope and Timmel 1984). Individuals are made to feel as if they are being empowered by receiving assistance to cope with an unchanged situation.

Small micro-enterprises are discussed as part of the DSW approach, since such enterprises are, in most cases, the expected outcome of skills training.

### i) Small micro-enterprises as part of the developmental social welfare approach

Micro-enterprises are described by Sanders (2002) as very small businesses that are run as a sole ownership, partnership or family business with fewer than five employees. Owners generally do not have access to the commercial banking sector and some begin their business with a loan or a grant. Micro-enterprises have the ability to contribute to the reduction of poverty, to promote social, economic and human development (Moyo 2003), to revitalise low-income communities and to create jobs and businesses (Clark and Huston 1993 cited in Sanders 2002).

Micro-enterprise development is a result of the need for immediate and practical solutions to the challenges of poverty, unemployment and underdevelopment in many African countries. Small enterprises are a major employer in countries where it is difficult to enter formal employment and where there is a failure of formal capital and financial markets to provide affordable credit and other financial services (Mead 1994).

The development of the micro-enterprise sector is critiqued for being "minimalist" since this sector treats the symptoms rather than the root causes of poverty and underdevelopment in Africa (Moyo 2003). Micro-enterprise programmes are often criticised for being part of a larger trend towards reducing social safety as created by social welfare programmes. On the other hand, the benefit of giving assistance to start micro-enterprises (when used as part of social assistance) is that social welfare programmes are self-sustainable, which makes it a more efficient developmental social welfare mechanism (Mosley 2001).

In a study on the impact of micro-enterprise programmes, Sanders (2002) found that the small loans that are given to low-income entrepreneurs limit the types of businesses started. These types of businesses are not likely to result in large earnings. The result is a job with low income, few benefits and little chance of advancement. Low-income entrepreneurs encounter structural problems that make it more difficult to gain access to information, business networks and markets. Sander's (2002) findings distrust the effectiveness of micro-enterprise assistance programmes as anti-poverty strategies, although the results showed that the participants did not have worse economic outcomes than low-income wage labourers.

In a study in Bolivia, it was found that micro-enterprises are not efficient in reducing extreme poverty (Mosley 2001). Torres, Bhorat, Leibbrandt and Cassim (2000) also found that the informal labour market in South Africa contributes to some form of income but it does not enable the poor to overcome poverty. Informal projects in the South African setup are,

according to Vorster (2000), limited in terms of their scope and long-term feasibility, the type of projects and markets. Sinha, Samuel and Quiñones (2000) assert that financial assistance programmes for starting small micro-enterprises tend to inhibit a significant number of the poor from achieving financial viability and sustainability. Semboja (2004) shares this view by stating that the presence of financial assistance programmes (for starting small micro-enterprises) without real economic opportunity may be a cause of entrepreneurs who are poor, getting into debt.

The presence of real economic opportunity alone cannot reduce the broader non-physical symptoms of poverty since poverty does not only result from a lack of opportunities to obtain income or goods and services but also from the people's inability to participate actively on behalf of their own interests, to express their needs, to organise themselves and to pose solutions (Restrepo s.a.). According to Semboja (2004), the battle for total eradication of poverty from the lives of many of the poor in Africa requires the combining of small micro-enterprise programmes with complementary programmes for addressing the social and cultural dimensions of hardship, impoverishment and deficiency. This can be achieved through the application of liberation and transformation approaches.

#### *2.3.2.3 The liberation approach*

The DSW approach enables participants to become aware of choices that are available and it gives them access to different resources. The liberation approach aims to move beyond the DSW approach by enabling different groups to express their insights, expectations and reasons for action. The liberation approach challenges participants to solve deep structural issues (institutional and policy constraints) and to influence governments and authoritarian structures through negotiations and strategic management (Korten 1990; Chambers 2005). This is done by encouraging community members to overcome exploitive structures (where there is oppression and domination) (Hope and Timmel 1984) by taking self-action to improve unfavourable circumstances instead of waiting on governments and other authorities to change the circumstances for them (Freire 1973; Goldenberg 1978; Couto 1998; Korten 1990; Chambers 1995).

Processes of consciousness raising, critical reflection and critical thinking are important in order to understand the forces that have reinforced powerlessness in the past caused by structural (policy and institutional) issues (Freire 1970; Korten 1990). This will enable participants to move from the awareness of issues that confront them, to defining their goals

(related to proposed change of policies and institutions) and acting upon them (Freire 1970; Kabeer 1999; Bartlett 2004). The opportunity for dialogue or shared communication creates a platform for making decisions and implementing programmes as a joint effort, which includes planning, action and reflection.

The main elements (consciousness raising, critical reflection, critical thinking, self-reflection, dialogue and participation [involvement in own decision-making and problem-solving processes]) of the liberation approach are clear, but the question remains how can it be applied when implementing development programmes (for example rehabilitation of the destitute in Botswana). In other words, how will we know that the emphasis has moved from the DSW approach to the liberation approach?

The challenge is for community developers to convert from developing human capital to developing social capital or rather to interweave the development of social capital and human capital. It is in the rich dynamics of social capital that critical thinking, dialogue, reflection and consciousness raising will emerge. This does not propose that informal businesses need to take place in groups, but it suggests that social capital is developed among those who are in the same situation. A study by Ntseane (2004) on female entrepreneurs in Botswana showed that success in informal businesses was directly related to social support among the entrepreneurs themselves (women in similar businesses) instead of competition among them.

The importance of social capital development as a follow-up on the DSW approach is also reflected in empowerment literature (Rappaport 1987; Kroeker 1995; Zimmerman 2000). DSW produces individual empowerment while the liberation approach produces organisational (also called social) empowerment. The development of social capital is the requirement for empowerment to take place at this level.

Social empowerment, as a result of the liberation and transformation approaches, aims at changing the power structures of societies as such structures are expressed in a group or community. The sharing of control in a group and collaborative decision-making gives people value, respect and power in the group. This includes the establishing of new structures, values and forms of interaction (Zimmerman 1995).

#### *2.3.2.4 The transformation approach*

The transformation approach takes the liberation approach a step further (moving beyond mere institutional and policy changes), since it involves not only participation in decision-

making processes and questioning of values, beliefs, or distorted assumptions, but also the transformation or changing of perspectives, behaviour, cultural beliefs, attitudes and values (Korten 1990; Hope and Timmel 1984). The transformation approach contributes to deep questioning of old values and expressing of new values and the creative development of new types of economic, political, legal and education structures and processes expressing these values. In all this, the common goal is to transform collective human resources for a collective action through self-managing networks of people and organisations (Korten 1990).

Thus, people who have attained this level of empowerment are likely to interpret those in authority, including experts, as part of the problems to be solved (Bergdall 1993). Personal and group involvement as part of the liberation approach is seen as a permanent process of renewal and thus it enables guarding against new patterns of oppression. Transformation as an outcome of the transformation approach will be enhanced when there are support efforts to develop activities to reflect on the following:

- personal and organisation life;
- creative new experiments;
- authoritarian structures with self-management and active participation at all levels;
- institutional linkages across sectors;
- collective attention to common community issues; and
- continuous open communication and strong alliances with other groups involved in similar struggles (Hope and Timmel 1984; Korten 1990; Zimmerman 2000; Bak 2004).

#### *2.3.2.5 Summary of the holistic approach to empowerment*

The welfare and DSW approaches bring about the means for the empowerment and transformation process. Access to resources (means) creates the potential for transformation, but it does not encourage transformation to take place. The liberation approach enables the "means" to bring about transformation. The transformation process is a cyclical process, where transformation brings about new means (resources) which need to be transformed through a process (Kabeer 1999; Bartlett 2004) (Figure 2.5).

The subsequent discussion will focus specifically on how poverty is defined and measured in Botswana and the approaches that the Government of Botswana are applying to eradicate poverty.

## 2.4 Poverty in Botswana

Poverty in Botswana was originally ascribed to drought and destitution since it (poverty) surfaced concurrently with large-scale agriculture income failure (Jefferis and Kelly 1999). The agriculture income failure was mainly due to drought and the inability of those without assets to find or create work. However, there are several reasons to believe that poverty in Botswana is rather a structural problem caused by:

- a narrow economic base (which limits opportunities for employment);
- a sparsely distributed population (1,7 million people [Central Statistics Office 2008]);
- poor endowment of agricultural resources;
- poor climatic and soil conditions; and
- the fact that Botswana is landlocked, which causes high export and import costs (Jefferis and Kelly 1999; Johannesburg Summit 2002; UNDP 2005; OECD 2006; Bureau of African Affairs 2006).

Besides the structural problems that cause poverty in Botswana, poverty is also due to a lack of vocational and entrepreneurial skills, inappropriate targeting of developmental programmes and assistance policies (Ntseane and Solo 2004), the increase of female-headed households and weakened support systems, where richer communities no longer support poorer communities (Clover 2003).

The high HIV/AIDS rate in Botswana aggravates the poverty problem, since it leads to unemployment, households without breadwinners and a high prevalence of orphans (Duncan et al. 1997; Organisation for Economic Co-operation and Development 2006). According to Siphambe (2003), unemployment is one of the most serious problems facing Botswana, affecting mainly the youth, women and those with little education. In 2000, more than one in six job seekers or 15,8% of the work force could not find a job (UNDP 2005). Unemployment is mainly due to the academically oriented schooling system that does not encourage diversity in career opportunities, the high concentration of job opportunities in urban and peri-urban centres and a lack of adequate training for junior and secondary school leavers (Ntseane and Solo 2004).

### *2.4.1 Poverty measurements in Botswana*

The 1997 Study of Poverty and Poverty Reduction in Botswana (Botswana Institute for Development Policy Analysis 1997) defines poverty as the inability to meet basic needs,

including absolute requirements such as nutrition, shelter and clothing, and relative requirements such as the ability to participate in basic recreation and to meet essential social commitments. At both household and individual level, poverty is seen as a lack of choices caused by low human capabilities and/or low income. Poverty in Botswana is measured in income terms, level of the capability of people to sustain themselves and the ability of communities to participate in the decision-making processes (Siphambe 2003).

The measurement of poverty in income terms refers to the inability to attain the level of income or expenditure needed to reach a minimum material standard of living (Johannesburg Summit 2002). The Botswana poverty datum line (PDL) is linked to the cost of a minimal basket of food and other basic requirements for the household to sustain a minimum standard of living. Households with consumption above the PDL are referred to as *non-poor*, those with consumption below the PDL but who have access to food are referred to as *poor*, while those who do not have access to food are described as *very poor*.

Measurement of poverty in terms of capability is used by the Botswana government to refer to the deficiency of basic human capabilities required (such as education and good health), which prevents the poor from overcoming the poverty trap (Johannesburg Summit 2002).

Measurement of participatory poverty has a connotation of vulnerability of the poor to different risks like violence, crime, and natural disasters. Siphambe (2003) states that a traditional system has been developed by the government of Botswana to include local citizens in decision-making processes, but found that the illiterate and women were not benefiting from this system. The significance of the participatory approaches applied in Botswana has not been established.

### *2.4.2 Poverty reduction by the Botswana government*

Sen (1992) defines the concept of *poverty* in a descriptive and policy form. Poverty in a descriptive form describes the type of deprivation or lack as experienced by the poor. This guides the diagnostic process and precedes policy-making. Poverty in policy form is linked to public action. In other words, the way poverty is described will influence how it will be addressed. Since poverty in Botswana was initially viewed as the result of a temporary drought (descriptive form), it was addressed through a welfare approach where subsidies were given to the people affected (policy form). Those affected were viewed as being in temporary poverty and they therefore received subsidies during the drought. The drought subsidies were more than the income the beneficiaries would normally have earned from the farm. The

subsidies therefore created a dependency since the reality is that poverty in Botswana is a structural problem, which includes poor climatic conditions. The giving of subsidies is thus a short-term solution (as based on income measurements), whereas a long-term solution would look at capacity development of other skills and employment creation (as based on low human capability measurements) (Jefferis and Kelly 1999; UNDP 2005).

The Botswana government poverty reduction approach has, according to the UNDP (2005) and the Johannesburg Summit (2002), always consisted of three elements to address the above-mentioned short-term and long-term solutions. The first element refers to aggressive investment in human capital formation to build capabilities such as knowledge, skills and health that will enable people to earn a living. The second element refers to employment creation, which aims to address the underlying causes of poverty. The third element refers to the creation of social safety net schemes.

The first element is implemented through the provision of training and health services. A study by Van der Merwe et al. (2008) revealed that home economics extension officers in councils focus mainly on the teaching of technical skills (for example sewing skills, brick moulding, vegetable gardening, cooking, recycling and laundry) and the impartation of knowledge (for example family nutrition, policies that affect women and the management of finances, advertising and marketing of the communities projects). There was only one case (a sewing group) where successful implementation of the skills was reported. Further investigation showed that the group functioned well (the group was motivated, had an operating structure in place and demonstrated a good team spirit), but that the group did not receive the support they needed from development workers, and that it is not an economically viable project. This shows the importance of applying a holistic approach to development where the liberation and transformation approaches are applied in conjunction with the DSW approach (Subsection 2.3.2).

Apart from income-generating skills, the government (Department of Non-Formal Education) focusses on literacy skills through a programme called adult basic education programme (Maruatona 2007). The annual report of the department of non-formal education listed 25 income-generation projects in Botswana, in which groups are involved (Maruatona 2007). Seven of the 25 projects failed. The reasons related to failure were mismanagement, lack of team spirit and lack of training. One of the projects was newly formed and three of the project groups were waiting to be trained. Although the remaining thirteen were described as operating projects, only two of these were considered to be functioning well. An example of a

successful income-generating project in Botswana include a group called Kgetse Ya Tsie, who creates consumer goods (marula oil, jams and beauty products) from locally available materials. Other successful groups include pottery, gardening and bakery groups (Ministry of Labour and Home Affairs 2004).

The second element is implemented through the creation of job opportunities. This includes direct productive support schemes like the now non-functioning Financial Assistance Programme (FAP) and its successor the Citizen Entrepreneurial Development Programme (CEDA) and rural employment creation schemes like the Accelerated Rain-Fed Development Programme (ARAP), labour-based drought relief, the Labour-Based Road Programme, the Remote Dwellers Programme (RDAP) and the Arable Lands Development Project (ALDEP).

The FAP was reviewed four times during its existence (1982-2000) and appropriate reforms have been carried out in response to these evaluations. The reviews suggested the replacement of the policy with other forms of support, because it was found that money was given to people without scrutiny to determine whether the proposed business projects were suitable. Administrative problems were also experienced and fraud and abuse of the free grants were prevalent. The FAP did not contribute to the creation of sustainable and productive enterprises (Rivers 2000; UNDP 2005; Organisation for Economic Co-operation and Development 2006).

ARAP was assessed by Seleka (1999) and found to be effective in terms of improving rural household food security and welfare, but the programme was deemed unsustainable in terms of the financial input it requires from the government. ALDEP was a financial grant, whose aim was to help poor farmers improve their conditions through involvement in subsistence farming (Botswana Institute for Development Policy Analysis 1997). Problems related to the implementation of ALDEP included inadequate extension services, lack of technical training of the poor farmers and poor government planning. ALDEP was replaced in 2008 by the Integrated Support Programme for Arable Agricultural Development (ISPAAD).

The third element, which is the creation of social safety net schemes, include programmes for destitute people, orphanage support, World War II allowances, old-age pension schemes, and drought relief. Drought relief programmes attempted to help people cope with temporary poverty induced by drought. A welfare-type approach is thus followed.

In general, many of the poverty reduction programmes in Botswana have not achieved the results they intended to achieve. This is mainly due to the following:

- a lack of effective co-ordination among different government departments (at both central and local/district level);
- inadequate monitoring and evaluation of programmes (which means that no gaps were identified); and
- insufficient participation by the poor in programme design, implementation, monitoring and evaluation, which led to an under-utilisation of many programmes (Johannesburg Summit 2002; Organisation for Economic Co-operation and Development 2006).

The Botswana Human Development Report (UNDP 2005) and Rivers (2000) both state that an unhealthy dependency is created as the Botswana government increases access to essential services, expanding opportunities for investment and employment and ensuring minimum welfare for the poor. The welfare policies for the destitute and those affected by drought stimulate a culture of inefficiency, which may cause or exacerbate poverty.

This research focusses on the destitute rehabilitation programme as a poverty reduction strategy initiated by the government of Botswana to reverse the dependency caused by the destitute policy. The following subsection describes and assesses the destitute policy and rehabilitation guidelines (which prescribe the destitute rehabilitation programme) as applied by the Botswana government as a poverty reduction programme.

#### *2.4.2.1 Destitute policy and the destitute rehabilitation programme*

The original 1980 policy on destitute persons outlined the Botswana government's commitment to support destitute persons. This policy stipulated that rehabilitation of the destitute should be encouraged as material support is given to destitute persons. In 2002, more emphasis was placed on rehabilitation of the destitute by launching a destitute rehabilitation programme, and in 2004, guidelines were developed to outline the destitute rehabilitation process. The aim of the destitute rehabilitation programme is to enable able-bodied destitute people to become self-sufficient through income-generation projects.

The implementation of the destitute policy in Botswana is guided by three documents, namely the national destitute policy, guidelines for implementation of the destitute rehabilitation programme, and the operating manual (Ministry of Local Government, 2002a, b, c).

The national policy outlines five benefits that the destitute are entitled to namely:

- the provision of food ration packets (including hygiene items);

- the provision of money;
- free access to services (education, water, electricity, health and medical care and transport fees);
- the provision of funeral expenses;
- access to free basic shelter; and
- the provision of repatriation expenses, when relatives from another district take care of the destitute person.

The destitute are entitled to these benefits after their circumstances have been accessed by a social welfare officer. The indicators used to access whether a person can be categorised as destitute include very few visible resources, poor health and no care available, poor housing conditions, no firewood and no food, being abandoned by their family and children in households who are forced to look for food elsewhere (Ministry of Local Government 2002a, c).

The 2002 destitute policy includes rehabilitation as an important component (Ministry of Local Government 2002a, c). The purpose of the rehabilitation component is to enable the destitute to escape from poverty and to become economically empowered. The rehabilitation programme aims towards equipping the destitute person to re-adapt to society successfully through counselling, skills training, participation in work programmes and support for self-employment activities (Ministry of Local Government 2002a).

The destitute rehabilitation guidelines, as developed in 2004 to accompany the revised 2002 policy on destitute persons, outlined different steps to be followed in implementing the destitute rehabilitation programme.

These steps include community mobilisation, needs assessment, identification of an income-generating project, market survey, business training, development of a business plan, resource mobilisation, implementation, monitoring and evaluation, refresher training and allowing the destitute groups to work autonomously (Ministry of Local Government 2002a). The destitute rehabilitation guidelines encouraged the destitute to be “psychologically, physically, socially and economically empowered through social and business skills training” (Ministry Local Government 2002c:7). Therefore, the destitute rehabilitation guidelines propose addressing of all manners of poverty situations as outlined in Subsection 2.2.2.

In Figure 2.6, the destitute policy and rehabilitation guidelines are compared to the holistic empowerment model (Figure 2.5). The purpose of this comparison was to establish whether the goal of enabling psychological, physical, social and economical empowerment (as proposed by the rehabilitation guidelines) meets the requirements set by the holistic empowerment model (Figure 2.5).

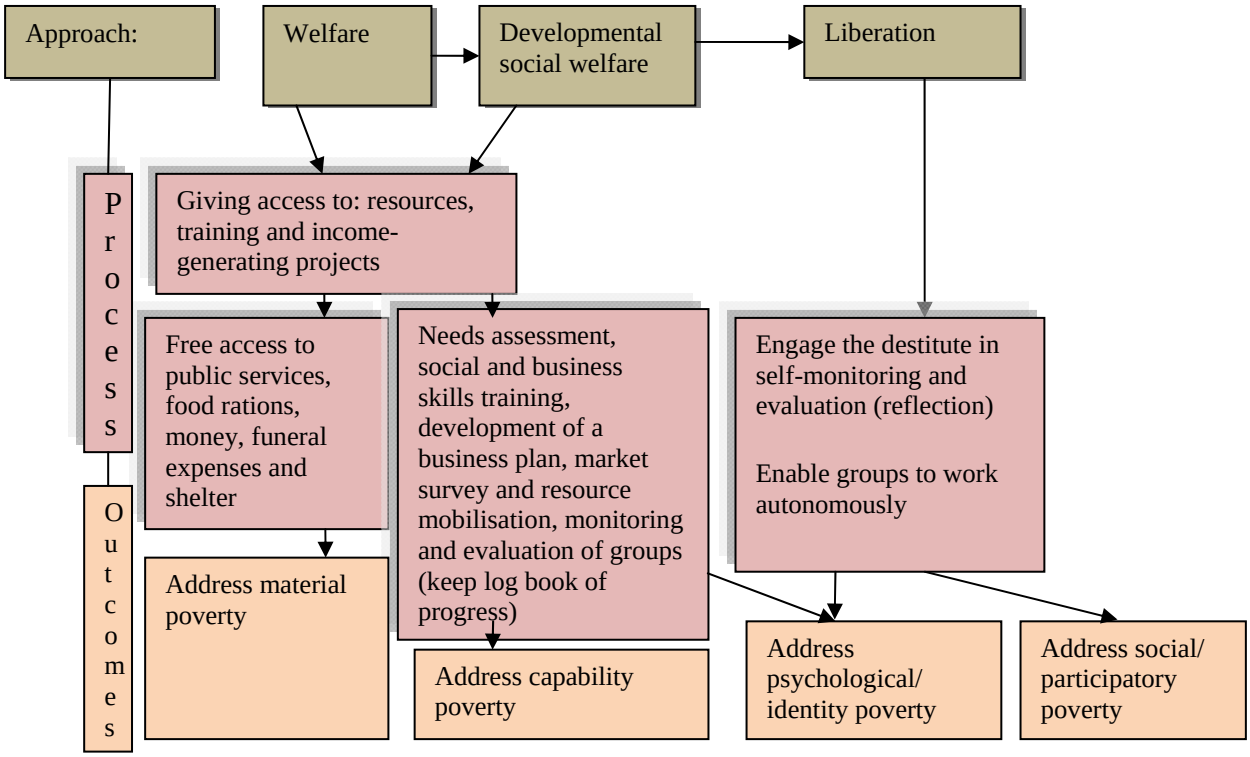



**Figure 2.6: The implementation of the destitute policy and rehabilitation guidelines according to the holistic empowerment model (Figure 2.5)**

As depicted in Figure 2.6, the destitute policy and the destitute rehabilitation guidelines apply the welfare and the developmental social welfare approach by giving the destitute access to resources, training and income-generation projects. The policy and the guidelines therefore address material poverty as well as capability and psychological poverty.

The destitute rehabilitation guidelines (Ministry of Local Government 2002a) propose that the destitute have access to self-monitoring and evaluation and that they work autonomously in groups (the last step of the proposed rehabilitation process). Depending on how these two activities are implemented, they may address social poverty and psychological poverty, as does the liberation approach. However, the guidelines do not specifically emphasise the implementation of the essential components of the liberation approach, namely to encourage reflection, critical thinking, dialogue and participation (authentic involvement). In addition,

there is no emphasis on the provision of mentoring and support for the groups even though continuous monitoring and evaluation are emphasised. It is thus clear that the destitute policy and rehabilitation guidelines put more emphasis on the welfare and developmental social welfare approaches than on the liberation approach. No reference is made in the rehabilitation policy to the transformation approach, such as encouraging the destitute to take collective action to question and change inadequate economic, political, legal and education structures and processes.

It is essential to not look solely at the destitute rehabilitation guidelines in terms of their capability to bring about empowerment but also to look at the development workers' ability to effectively implement the rehabilitation guidelines. According to Ntseane and Solo (2004), the ability to implement the destitute rehabilitation programmes effectively is impeded by a shortage of human resources, office space and vehicles. This research aims to gain deeper insight into the capability issue through an in-depth understanding of the perspectives, practices and experiences of the key role players involved in destitute rehabilitation (see Subsection 1.4).

**Reflection Box 2.4: Reflections on poverty alleviation policies for social development**

Botswana, like South Africa, focusses on the development of human capital rather than on social capital. This implies that these countries only provide the means for sustainable development by giving access to resources but do not enable the destitute to define their own needs and act upon them, which is the process of sustainable development. Policies need therefore to be geared towards development of social capital rather than the development of human capital only. This requires that policies take the following into consideration:

- Systems in place for the development of social capital:
    - create an environment where people in the same situations can engage in critical thinking, reflection and dialogue to challenge their perspectives and assumptions (the application of the liberation approach);
    - support and mentor those who have received access to resources (application of DSW and liberation approaches);
    - allow participants to design their own development process and means of overcoming poverty after they have been given access to resources (the application of DSW); and

- enable participants to realise their own capabilities and potential (application of the liberation and transformation approaches).

- Systems in place for the destitute to share their experiences and to make their voice known:
  - create an environment where there is transparency and accountability from the side of the government to encourage the destitute to participate in decision-making;
  - encourage the destitute to engage in the development of improved governance systems; and
  - encourage formation of partnerships and networks that will increase the voice of the destitute.

These reflection thoughts influenced the interpretation of data related to the community development approaches as applied by development workers.

## 2.5 Summary

Poverty is not only the result of a lack of economic means but also of a lack of human, natural, social and psychological assets. It is therefore important for community development approaches to focus not only on human and economic development but also on the development of social capital. Social capital enables individuals to be active problem posers and problem solvers of systems that are oppressive. According to the literature, the government of Botswana focusses only on human development. This requires the development of new approaches to encourage social development during destitute rehabilitation.

The next chapter describes the development of a systems theory for capacity enhancement of development workers as they engage in implementation of the destitute rehabilitation programme. It also outlines the components of the system in which destitute rehabilitation is taking place and ways of enhancing the capacity of the system.

*Chapter 3*

# LITERATURE REVIEW PART 2: CAPACITY ENHANCEMENT OF DEVELOPMENT WORKERS USING A SYSTEMS APPROACH

## 3.1 Introduction

The previous chapter described destitute rehabilitation against the background of poverty definitions and poverty reduction strategies, and related it specifically to the situation in Botswana.

As this research developed through different action research cycles, it became clear that development workers' capacity to implement the destitute rehabilitation programme cannot be enhanced without applying a systems theory approach to understand the system within which they are operating. This chapter focusses on the theory of systems thinking and the system within which development workers are operating, which include the enabling, institutional and individual environment.

## 3.2 Systems thinking theory

The integral concept of systems theory is wholeness, achieved by looking at the big picture and relationships between the parts, as reflected in the following statements (Senge, Scharmer, Jaworski and Flowers 2005:46, 48):

> *You have to cultivate a quality of perception that is striving outwards, from the whole to the parts. Since figuring out the larger system is so hard, we often just give up and go back to concentrating on the parts. But there is another approach: understanding the whole to be found in the parts.*
> *When we encounter the authentic whole we encounter life at work, and we are transformed from passive observers to active participants in ways that intellectual understanding can never achieve.*

If the focus is only on one part of a system, as the quotes reflect, it is difficult to bring about change. A system is defined by Luckett, Ngubane and Memela (2001:522) as a "set of things

and activities with properties unique to the whole system that are interconnected to form an adaptive whole in order to perform a specific purpose". Systems thinking theory is therefore an effective approach to use in order to understand the adaptive whole by examining the parts which form the whole and in turn by examining the features of the whole (Ackoff 1981; Checkland 1981; Bawden 1997). The focus is therefore not on the individual properties of the parts of the system but on the system processes, which refer to the inter-relationships among key components of the system, which includes attitudes and perceptions and the way in which decisions are made (Senge et al. 1994). When the emphasis is on the whole, the system and its environment is examined, including the behaviour of the system and the factors that influence it. When the emphasis is on the parts, the components and their relatedness and the processes and their relatedness are examined (Sice and French 2006).

### *3.2.1 Justification for applying systems theory*

Systems theory allows systems thinkers to have a global view on the causes and effects that actions, attitudes and communication may have on the environment. It encourages this by exploring all possible results and by getting systems thinkers to see themselves in the context of the problems experienced (Zulauf 2007). This prevents the blaming of others for the problems experienced and rather allows people to see how they can contribute to the problem (Senge et al. 1994; Zulauf 2007). In addition, systems thinking enables decision-makers to distinguish clearly between symptoms and causes so that long-term solutions will be identified rather than temporary, quick-fix solutions (Maani and Cavana 2000). This enables the design of effective action, and allows for unimportant information to be filtered out when a complex situation is under study (Aronson 1996).

Furthermore, Stewart and Ayres (2001) and Maani and Cavana (2000) see systems thinking as an aid to decision-making and as an approach for generating implementation strategies, linking it specifically, however, to policy-makers. The application of system theory enables policy-makers to:

- create recommendations for policies;
- distinguish between the content of the policy and the process of the policy implementation; and
- examine and predict policy and strategic decisions.

This is specifically achieved when the problem is conceptualised as a systems process with the focus on inter-relatedness and relationships (Aronson 1996), links and communication structures, and the acknowledgement of the importance of two-way feedback (Stewart and Ayres 2001).

**Reflection Box 3.1: Reflection on the capacity enhancement of development workers through a systems thinking approach**

The practices of development workers in terms of implementing the destitute rehabilitation programme are not confined to the approaches they are using, but to the systems within which they are operating. The implementation of the destitute rehabilitation programme is also not confined to implementing it by the letter, but development workers can be enabled to apply the policy according to the environment. A systems thinking approach will therefore enable policy implementers (development workers) to implement the policies (destitute rehabilitation programme) as prescribed and adjust them according to the context within which it is implemented by viewing the implementation as part of the bigger picture. Understanding of capacity enhancement, as a result of systems thinking, needs to take into consideration the systems within which development workers are operating. This notion informed the structure of this research as described in Subsection 4.1.

### *3.2.2 Characteristics of systems thinking theory*

General systems thinking theory is built on specific characteristics, which guide its application. These characteristics include hierarchical structure, interaction and specified relations between the interrelated parts, emergent properties, holism and wholeness, complexity, specific boundaries and feedback loops and input, throughput and output. Each of these characteristics is explained in the following subsections.

#### *3.2.2.1 The hierarchical structure within which sub-systems are nested*

Systems consist of many sub-systems that are arranged in hierarchies. If one of the sub-systems is removed, the system will not function properly (Clayton, Clayton and Radcliffe 1996). Sub-systems are lower-order systems that are components of a system, which are again part of supra-systems (higher-order systems) (Haines 2000). Sub-systems are not referring to the different departments in an organisation but rather to patterns of activity within and between them (Katz and Kahn 1978). This implies that the relationships and interrelatedness between parts of the system cause them to be sub-systems.

#### *3.2.2.2 Interaction and specified relations between the interrelated parts*

Interaction can be either horizontal or vertical. *Horizontal interaction* refers to the interaction that takes place within the system's boundary. The boundary is crossed with *vertical interaction* as the environment is included in the interaction (Chetkow-Yanoov 1997). *Interactive processes* refer to the methods used to encourage interaction between the environment and the system and between the different system's components. It is necessary to communicate with and adapt to the changes in the environment in order to satisfy both the system and the system's environment dynamics (Maula 2006). Complexity is a result of this interrelatedness between the parts of a system. However, it does not necessarily reflect the real situation but rather represents one's mental picture of the interrelatedness as experienced. These complexities only surface when observers concentrate on the system as a whole and do not isolate parts (Mulej, Potocan, Zenko, Kajzer, Ursic, Knez-Riedl, Lynn and Ovsenic 2004).

#### *3.2.2.3 Emerging properties*

The process of components interacting together within the boundaries of the system causes the emergence of properties, which are unique to each specific system (Bawden 1997). These emergent properties are "those functions, attributes or behaviours, good or bad, which would not exist except for the operation of a system" (Harrington, Carr and Reid 1999:54). Emerging properties emerge as a result of complexity and inter-relationships (Harrington et al. 1999; Mulej et al. 2004).

#### *3.2.2.4 Holism and wholeness*

Holism and wholeness are the fundamental ideas of systems theory. Systems consist of components that interact in an organised way for a specific purpose. A holistic view emphasises the importance of an understanding of each process in the context of its relationship with each stakeholder in the process (Clayton et al. 1996). When the focus is only on parts or activities (in the system), ineffective change will occur (Haines 2000).

#### *3.2.2.5 Specific boundaries*

According to Chetkow-Yanoov (1997), any system starts with a subjective definition of a boundary which separates the inside from the outside of a system. The creation of boundaries enables the defining of the relationships in a system and enables analytical separation of a system's internal components from its environment (Clayton et al. 1996; Chetkow-Yanoov 1997).

A system with a closed boundary finds no relationships between the parts of a system and things external to it (the systems environment). An open system exchanges information with its environment across the boundary (Flood and Carson 1993; Haines 2000). An open systems approach requires one to look inward and outward and to understand the relationships and interactions between sub-systems and their environment.

#### *3.2.2.6 Input, throughput and output*

According to Haines (2000), input, throughput (processes) and output form the basis of an open systems thinking model. Input and resources need to be sufficient and of adequate quality to ensure that systems are sustainable and growth is encouraged. Outputs are generated by the system that can be exported across its boundary to become the inputs of another system (Chetkow-Yanoov 1997). Throughput is the process of using inputs (for example information and meaning) to generate the outputs (for example decisions and policies) (Clayton et al. 1996).

#### *3.2.2.7 Feedback loops and control that allow adjustment and adaptation*

Feedback loops are described by Clayton et al. (1996:25) as "an iterating chain of causal connections". This means that information related to the outputs is fed back as an input into the system, with the aim of bringing about change by achieving more effective outputs (Haines 2000). Negative feedback loops prevent change in the system while positive loops encourage further growth.

According to Rees (2000), these characteristics of systems thinking (Subsections 3.2.2.1–3.2.2.7) can be applied as a process of inquiry by building an approach around the central characteristics of systems thinking, as described in the next subsection (Subsection 3.2.3).

### *3.2.3 Defining the sequence of systems*

Systems thinking (when defining a system) provides, according to Maani and Cavana (2000), a paradigm, language and technology, which allow understanding of the dynamics that inspire change and complexity. This subsection describes how the different characteristics of systems (Subsections 3.2.2.1–3.2.2.7) can be used to define a system. Ackoff (1981), Chetkow-Yanoov (1997), Gharajedaghi (2005), Maula (2006) and Tarride (2006) suggest the identification of the following systems characteristics (in the outlined order) to define systems:

- the system and the system boundary in the immediate system's environment;

- the internal structure of the different sub-systems;
- the environment of each sub-system;
- the behaviour of each sub-system and the effect of each sub-system on the behaviour of other sub-systems;
- the relationships/links between the different sub-systems;
- the specific function of each sub-system – the input, output and throughput of the system;
- the system's horizontal and vertical relationships that allow going from input to output;
- feedback processes;
- systemic coherence (consistency);
- information and meanings that comprise the feedback processes;
- the decision-making sub-system;
- the coordinating mechanism of the decision-making processes; and
- the evolutionary process of system.

Defining of systems (systems modelling) as described above, enables understanding of the problem situation, but it does not prescribe change (Lane and Olivia 1998), neither does it provide a consistent approach to real world problems (Rees 2000).

**Reflection Box 3.2: Reflection on the process of systems modelling**

The use of the different characteristics of systems thinking unfolds the building blocks of any system. The systems thinking process reveals what needs to be taken into consideration when forming models. Models provide a subjective depiction of the problem situation and indicate the complex inter-relationships involved, but do not suggest changes that need to be made.

**Questions**:

- How can systems modelling be applied to inform capacity enhancement?; and
- How is the literature, discussions with colleagues, thoughts and experiences of the development workers and the poor incorporated to inform and influence the formation of a systems model (conceptual framework) for understanding capacity enhancement?

These reflection thoughts and questions are related to the discussion in Subsections 4.1 and 4.2.3.

The different characteristics of systems thinking are embedded in different systems methodologies, as developed to use in specific circumstances and situations that require a systems approach. These systems methodologies will be covered by the discussion that follows.

### *3.2.4 Tradition of systems understanding*

Systems theory was introduced as general systems theory by Von Bertalanffy, Rapoport, Gerard and Boulding in the 1950s, as a transdisciplinary approach to help understand complexities that are beyond the competence of a single discipline (Banathy and Jenlink 2004). According to Banathy and Jenlink (2004), Von Bertalanffy realised that isolated parts and processes cannot be studied on their own, as it is necessary to study the relations that emerge from dynamic interaction between the parts. It was recognised that science was viewed as removed from social systems in the 1950s even though knowledge is a function of human and social organisms (Boulding 1956). This finding contributed to the development of a general systems theory.

The specific disciplines that influenced systems theory were biology (Von Bertalanffy), mathematics (Rapoport), physiology (Canon), economics (Boulding), philosophy (Hegel) and sociology (Parsons) (Jackson 2000; Ramage and Shipp 2006; Ison, Blackmore, Collins and Furniss 2007). Boulding (1956) describes general systems theory as a type of theoretical modelling between mathematics and theories of specialised disciplines.

In the 1940s and 1950s Parsons developed a systems model for analysing the different elements of the social world in the field of sociology. He looked specifically at organisations as systems and his work influenced the development of organisation theory (Jackson 2000). Von Bertalanffy (1956) used general concepts from biology and extended these to other disciplines through general systems theory. When the general systems theory was established it was able to influence specific disciplines and was influenced by disciplines (Jackson 2000; Ison et al. 2007), since a methodology was necessary to put the Von Bertalanffy's ideas into practice (Mulej et al. 2004).

A study by Maani and Maharaj (2001) showed that it cannot be taken for granted that task performance will be better when more systems thinking is applied. Although the amount of systems thinking which is applied is significant, the systems thinking approach applied is more important. General systems theory together with cybernetics and organisational theory has influenced the development of different systems approaches, like systems dynamics,

viable systems methodology, soft systems methodology and critical systems heuristics (Jackson 2000; Wang and Ahmed, 2002; Ramage and Shipp 2006). These four approaches are described in Subsections 3.2.4.1–3.2.4.4.

#### *3.2.4.1 Systems dynamics*

Forrester is the founder of systems dynamics, and its application to organisational learning was popularised by Senge (Ramage and Shipp 2006; Ison et al. 2007). Jackson (2000) describes Forrester's systems dynamics as feedback structures with many different feedback loops, which have a specific orderly structure. These feedback structures can be positive feedback loops that lead to growth, or they can be negative, goal-seeking feedback loops. Systems dynamics as applied by Forrester provides, according to Jackson (2000), a methodology for systems enquiry because it gives managers specific guidelines to use in systems design and problem-solving.

Systems dynamics theory aims to grasp the whole by applying a general theory of systems behaviour. Feedback loops are therefore used to explain the system's behaviour and the relationships between sub-systems, but there is no precise focus on exact representation. This has caused systems dynamics to be criticised for being inaccurate and jumping to conclusions (Jackson 2000).

Senge et al. (1994) applied concepts of systems dynamics to develop their learning organisational theory. They identified five disciplines which form an integral part of learning organisations. Systems thinking, as one of the disciplines, underpins and integrates all four of the other disciplines. Senge et al. (1994) use feedback loops to portray the interconnected nature of the world as well as links to depict the influence (cause and effect) that one element in a situation has on another.

Senge's work is often criticised by purist systems dynamicists for being unscientific (Jackson 2000). Flood (1999) regards Senge's approach to systems thinking as narrowed down. He suggests it is in need of contributions from the work of Von Bertalanffy, Beer and Checkland, which is deeply rooted in a social understanding of a problem and is geared by specific systems characteristics.

According to Rees (2000), systems dynamics can be applied to design and evaluate models for the purpose of bringing about change, but on the other hand, it is limited in tackling a problem from different perspectives. Systems dynamics does not equip participants with a set

of tools that can enable them to create different views to inform model construction. Task models are provided by systems dynamics theory but power and social interaction are of limited interest (Lane and Olivia 1998). Systems dynamics does thus not incorporating the ultimate level of understanding since the meaning of knowledge does not attempt to be socially interpreted (Panagiotidis and Edwards 2001).

#### *3.2.4.2 Viable systems methodology*

Viable systems methodology (VSM) provides a means of understanding why organisations are able to survive. Concepts like self-organisation and autopoiesis (the process by which a system replaces its own components) are the integral components of VSM.

The main aim of VSM is to develop functions that will enable the organisation to survive in its specific environment, even if unexpected changes occur (Jackson 2000; Luckett et al. 2001). A viable system is understood in terms of the environment within which it functions and the way it responds to the changing world. A viable systems model consists of a set of operations, a meta-system (which describes the identity of the system that interweaves the operational parts into one observable whole) and the environment which it impacts and within which it sustains itself (Espinosa, Harnden and Walker 2005).

The implementation of VSMs requires the inclusion of five elements, namely:

- the various parts of an organisation that are directly related to implementation;
- the coordination functions in the various parts of the organisation;
- control functions, which include the control of effective implementation and coordination;
- development functions, which ensure information sharing to the lower-level systems in an organisation and the capturing of information about the total systems environment; and
- planning functions related to policy development and long-term strategic plans (Beer 1984; Jackson 2000).

Haslett and Sarah (2006) applied the viable systems methodology, as developed by Beer (1984), during policy design in the Australian taxation office. It was specifically used to make the role of the different stakeholder groups clear. Viable systems methodology provided their study with a means of communicating the relations necessary for a system to interact effectively within its environment.

Luckett et al. (2001) used VSM as a tool for the diagnosis and redesign of organisational processes. They found VSM to be more useful in an organisational setup where there is a single management function with the power to allocate resources than in a situation where the management function is carried out by a coordinating body, with no authority to allocate resources.

#### *3.2.4.3 Soft systems methodology*

Hard systems methodology is limited to the production of technical knowledge and does not consider the social context within which knowledge is generated. Issues like power, organisational purpose and processes are not taken into consideration in hard systems methodologies (Panagiotidis and Edwards 2001). Hard systems theorists see the world as systemic while soft systems theorists see the process of inquiry as systemic and aim to solve soft, ill-structured problems. Checkland (1988, 1989), the founder of soft systems methodology (SSM), views systems thinking as an epistemological device or a conceptual abstraction that can be used to organise thinking about the real world and to gain understanding of the real world. In addition, SSM may be employed to solve problems and to discover ways of implementing the solutions. Systems in the application of SSM are in other words a way of thinking about the real world (as reflected by worldviews) rather than describing the real world (Lane and Olivia 1998; Checkland 1999; Packham and Sriskandarajah 2005) since the focus is on the process instead of on the final products (Checkland 1999).

According to Jackson (2000), Checkland's work played an essential role in the development of problem-solving applications to solve real-world problems, which means that soft systems methodology is an organised learning system rather than an optimising system. Checkland (1999) does not view real-world systems as problems in need of repair, as he discovered, through action research, that people attempt to take action (in the solving of problems) that is meaningful to them. The concept of *human activity systems* was developed by Checkland (1999) to model people's objectives and to describe the actions they are attempting to take. In order to understand people's objectives it is necessary to understand the mental models of people (Checkland 1999). *Mental models* refer to the deeply ingrained assumptions and generalisations or pictures that influence how organisational settings are viewed and they guide organisational behaviour.

The aim of SSM is thus not merely to map existing structures in a conceptual but also to enable new paradigms of thinking as applied to the situation. The model does not prescribe activity but rather creates a platform for understanding the operational system, which can guide discussions and decision-making to bring about change.

Checkland's (1999) SSM consists of the six steps which form the guidelines for applying it, namely:

- find out what the real problem is and identify the elements within it;
- develop a basic description of the proposed system;
- build a conceptual model;
- compare the new model to the model developed after the first part of the research;
- identify the changes that need to be made by each component of the system (government, development workers and the destitute); and
- articulate assumptions that may enhance or impede the belief that those involved in the system are able to make changes in the system themselves.

According to Chapman (2004), soft systems methodology is the best approach to unlock transformational change since it involves the understanding of inter-relationships in the process of collaborative working through networks and it tries to understand the complexity of situations. However, real change or transformation will only occur when self-reflection regarding their own ideological limitations is undertaken by stakeholders (Panagiotidis and Edwards 2001). These limitations relate to beliefs, values and opinions that shape the way a person thinks and acts upon the world.

Lane and Olivia (1998) criticise SSM for, even though it communicates a set of changes which can be performed in the real world, it only produces incremental change which, in their view, is a limited and a non-sustainable form of change. They argue that conceptual models simply prescribe a minimum set of activities that are necessary to effect transformation from input to output. Wang and Ahmed (2002) also state that, even though SSM includes the soft element of human situations and encourages people's inquiry, it does not include how the perceptions of people can be changed and how creativity and pro-activeness can be encouraged. The soft system methodology does thus not allow for analysis of the mechanism that underlies the process that produces those perceptions (Panagiotidis and Edwards 2001).

This is done through the critical systems paradigm since this paradigm seeks to understand the causes that produce perceptions (Panagiotidis and Edwards 2001; Cavana and Mares 2004). Soft systems thinking produces appreciation of different mental models, but the critical systems thinking paradigm enables the acquiring of "self-knowledge about ideological inputs, outputs and limits" (Panagiotidis and Edwards 2001:141).

#### *3.2.4.4 Critical systems heuristics*

Ulrich (1983, 2003) aimed, through the development of critical systems thinking heuristics (CSH), to make systems thinking the source of reflective practices.

The type of systems approaches used is inconsequential as long as a component of reflective practice is included (Ulrich 2003, 2005). The core concept of CSH is the application of boundary judgements through critical reflective practices. Such practices are tools that encourage questions and argumentation. The concept of *heuristics* attempts to find or discover relevant problem aspects, assumptions, questions or solutions strategies (Ulrich 2005). The concept *critical* as used by Ulrich (2005), refers to the art of value judgement. Value judgement is based on implicit or explicit standards or norms and there is no right or wrong judgement, however, it supports processes of reflection about alternative assumptions.

When dealing with boundary judgements, the following are taken into consideration:

- boundaries' categories, which are the main role players;
- boundary issues, which are the major concerns associated with the stakeholders involved; and
- the major difficulties that may arise with regard to the concern involved.

In order to implement boundary judgements, questions are formulated for each boundary category (client [beneficiary], decision-maker [owner], planner [expert] or the affected). These questions help to make the purpose of every category clear in descriptive (what is the actual case?) and prescriptive mode (what is the ideal case?) (Ulrich, 1983, 2005) (Table 3.1).

**Table 3.1: Critical heuristics boundary categories (adapted from Ulrich 1983:258, Reynolds 1998; Luckett 2006 [their work is also based on Ulrich's table])**

| | **Dimensions of intentionality** | | |
|---|---|---|---|
| **Boundary category** | **Boundary issues** | | |
| Who is the client? (role)<br>What is the purpose of the policy and its consequences? (role-specific concern)<br>What is the measure of improvement/who is in the position to change the measures? (problem) | Linked to the policy's basis of motivation | Those involved | The system of concern that determines which observations (facts) and evaluations (values) are considered |
| Who are the decision-makers (internal and external)? (role)<br>Which components (for example, resources) are influenced by decision-making? (role-specific concern)<br>What belongs to the decision-making environment? (problem) | Linked to the policy's basis of power and sources of control | | |
| Who are the planners/experts? (role)<br>What is the expertise required? (role-specific concern)<br>What is the guarantee that the policy is successful and that it will work? (problem) | Linked to the policy's basis and sources of knowledge | | |
| Who are the affected? (role)<br>What is the emancipation expected? (role-specific concern)<br>What is the possibility of a conflict in worldview between those affected and those involved? (problem) | Linked to the policy's source of legitimation | Those affected | |

Critical systems heuristics seeks to engage in dialectical reflection through a process of dialogue and critical reflection between those involved in the system and those affected by the system. The ideal is that reflection will take place in a dialogical setting where representatives of the affected are given opportunities to respond to systems plans and to the economic, social, cultural, historical and political circumstances that are affecting the affected (Reynolds 1998). However, Luckett (2006) criticises CSH for not being vigorous enough to overcome distortions when there are unequal power relationships in a specific system.

### *3.2.4.5 Summary of the tradition of systems understanding*

Each systems thinking approach has specific characteristics and serves different purposes. These four approaches can be compared to each other because all of them are intervention tools. Table 3.2 summarises the central idea of each of the four systems approaches discussed. It also suggests how the ideas can be applied when the aim is to understand the system within which development workers operate and to enhance the capacity of development workers.

**Table 3.2: The application of the different systems approaches when aiming to enhance the capacity of development workers**

| | **Systems dynamics** | **Viable systems** | **SSM** | **Critical systems heuristics** |
|---|---|---|---|---|
| Central idea | Engage in enquiry of systems by portraying the interconnected nature of the world through feedback loops. | The development of functions that will enable the organisation to survive within its specific environment. | Creation of human activity systems to provide a platform for understanding an operational system and to guide discussions and decision-making. | The application of boundary judgements through critical reflective practices to discover relevant assumptions and solution strategies. |
| The way it can be applied to understand the complex situations within which development workers operate and to inform capacity enhancement | Describing the behaviour and relationships between the sub-systems (for example the government, development workers and the poor) through feedback loops and the depiction of cause and effect relationships. | Specify the functions of each role player, (operational parts of the whole system), the relationships between the role players and the environment impacted by the system. | Scrutinise the perspectives of those in the system, through steps of understanding problems related to the system. | Understand the social roles of those involved (the beneficiaries, decision-makers and experts) and those affected in policy/programme implementation in terms of the actual and ideal situations. |

Systems dynamics and viable systems enable understanding of the different sub-systems and the relationships between them while SSM and CSH aim to understand how people perceive their complex situations differently as based on their perspectives. SSM and CSH do not

make assumptions that the world is systemic, like systems dynamics and VSM, but see the process of enquiry as systemic.

**Reflection Box 3.3: The selection of an appropriate systems thinking approach**

General systems thinking characteristics informed what is included in the process of modelling (development of the conceptual framework), while the different approaches suggested how systems thinking would be applied to make sense of the complexities depicted in the system.

Systems dynamics, VSM, SSM and CHS create a platform for understanding and informing change which should (specifically SSM and CSH) engender dialogue and critical reflection. Systems modelling enables observation of capacity enhancement circumstances. Systems dynamics and soft systems methodology bring understanding of complex problems and enable the construction of a shared vision for those involved in the development practices. CSH aims not only to encourage dialogue and reflection but also to deepen levels of shared understanding between those affected and those involved in the changing process.

**Question:**

Which approaches need to be employed to enable:

- observation of what the complex situation is (nature of the knowable or ontology);
- an understanding of the complex situations and ways to solve them (ground we use to have the knowledge about the complex situation [epistemology]); and
- the search for deeper levels of shared knowledge by those who are involved in the system and those affected by the system (to inform the capacity enhancement of development workers in a sustainable way).

These reflection questions were used to select the appropriated systems approach to apply in this research (Table 4.1).

## 3.3 The capacity enhancement of development workers in a systems thinking framework

Milèn (2001) suggests that capacity enhancement needs to take place in a systems framework in order to find the root causes for capacity constraints and to develop strategies according to the gaps that exist. The benefit of applying a systems framework is the reduction of the gap between mere discussions about development and reality in development work. This happens because examination of various inter-relationships between the different components,

processes, procedures, values and culture in the development process is encouraged (Saltmarshe, Ireland and McGregor 2003). Capacity enhancement in a systems framework is an all-inclusive strategy which includes national, regional and municipal levels to enhance their abilities in what they do, through their own efforts and through the support from outsiders (Lusthaus, Adrien and Perstinger 1999). This requires that capacity enhancement is context-specific. Efforts and programmes can therefore not be implemented as prototypes, but need to be designed according to the system within which the operation is taking place (Lavergne 2004).

Capacity enhancement at organisational level can be either from a closed or from an open systems perspective. The closed systems perspective focusses on the internal workings of the organisation. The open systems perspective includes social values and the political and social contexts (Lusthaus et al. 1999). In both perspectives, capacity enhancement of organisations is an endogenous process (looking from the inside out) since it is embedded within organisational, social and people structures (Lavergne 2004; Hunt 2005). These structures may encourage or impede the process of capacity enhancement. It is therefore necessary to apply a spiral of capacity enhancement initiatives where the different stakeholders are also included and affected by capacity enhancement to understand the way in which dynamic systems behave (Lavergne 2004; Hunt 2005).

The subsequent discussion focusses on the framework as set by the UNDP (1998:7-10) to understand capacity enhancement of development workers at three different levels: *the broad system (enabling environment), the entity (organisation),* and the *individual level*. Fukuda-Parr, Lopes and Malik (2002) labelled the three levels: *the societal level* (broad system), *the institutional level* (the entity) and *the individual level*.

### 3.3.1 The enabling environment that affects capacity enhancement of development workers

The enabling environment is the broad system within which development workers operate. This system includes the following dimensions (UNDP 1998:7) (Figure 3.1):

- the policy dimension, which describes the purpose of the system and the value systems that govern the components within the system;
- the legal dimensions, which describe the governing aspects in the system, like rules, laws, norms and standards;

- the management structure, which refers to "the decision-makers who influence the strategic perspectives and policies of an organisation" (Padaki 2002:322), which may include those who manage the system as well as the stakeholders who operate the system;
- the management system, which is an organised system of procedures that determines how decisions will be made (Padaki 2002);
- the values and worldviews of management, which refers to perspectives that guide what is acceptable and unacceptable in management practices (Padaki 2002);
- the human, financial and information resources that are available within the broad system to develop programmes and capacities; and
- the process dimension, which describes the inter-relationships, interdependencies and interactions amongst the sub-systems, like the flow of resources and information, formal and informal networks of people and supporting communications infrastructures.

The relationships between these components and the way they function and operate are depicted in Figure 3.1.

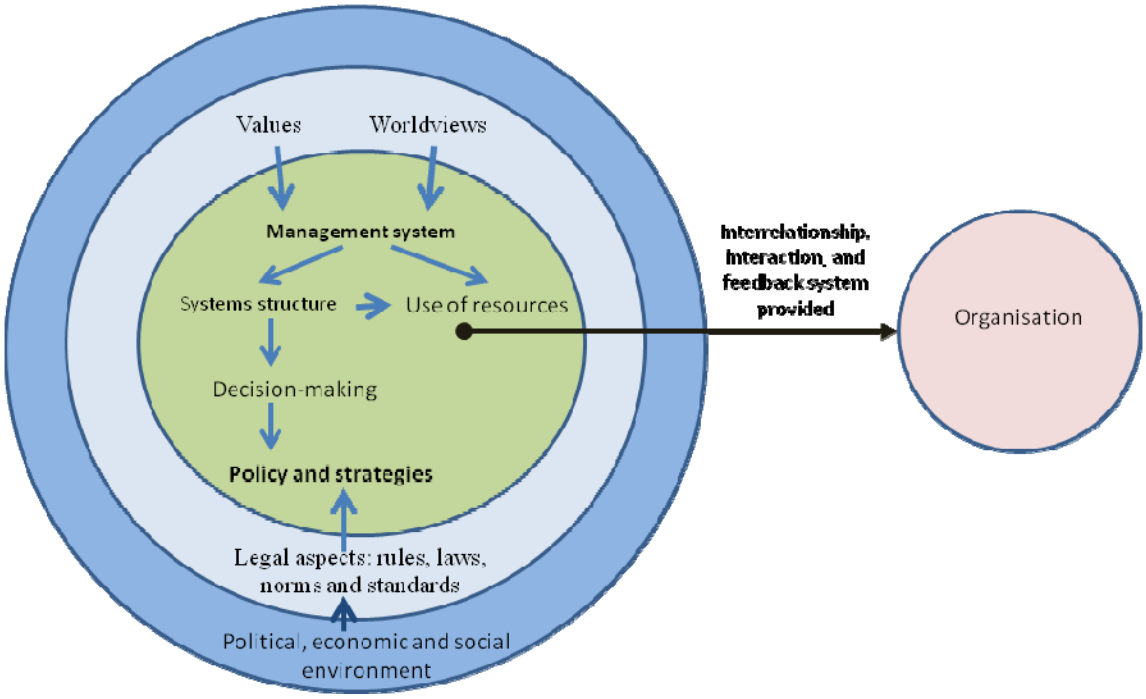



**Figure 3.1: The functioning of the enabling environment**

The functioning of the management system (in this research, the Department of Social Services and the Department of Local Government Service Management) is influenced by specific values, worldviews and legal aspects when developing new policies. This (the

functioning of the management system) is further influenced by a broader political, economical and social environment. The operation of the organisation is affected by this management system (including the management structure, decision-making and the use of resources), since it prescribes and encourages certain inter-relationships, interaction and feedback.

Capacity assessment of all the components of the enabling environment can, according to the UNDP (1998), be assessed by applying a systems SWOT (strengths, weaknesses, opportunities and threats) analysis to understand:

- the policy framework of the system;
- a performance assessment related to the outputs;
- outcomes and purposes of the system;
- an accountability assessment by doing an analysis of stakeholders who are accountable for managing capacities in the system as is proposed by the purpose of the system;
- comprehensive assessment of the systems' environment and its roles; and
- network flow assessments which identify and analyse the inter-relationship and processes among the sub-systems.

According to Scholes (2005), the application of SWOT analysis and performance and accountability assessment constitutes a top-down approach. Therefore, the SWOT analysis has confined ability to inform change or capacity enhancement since it does not produce understanding of the underlying causes of why there is a lack of capability. Underlying causes of why there is a lack of capability could be discovered by looking at the mental models of employees/managers (Senge et al. 1994; Checkland 1999), human activity systems (Checkland 1999) and the encouragement of double-loop learning (Senge et al. 1994; Argyris 1994) (Subsection 3.3.2.1).

The next Subsection (3.3.1.1) focusses on the policy dimension of the enabling environment. This will be done by looking at policy implementation in terms of policy-implementation models and factors that impede policy implementation.

#### *3.3.1.1 Policy implementation*

The concept of *public policy* is defined as strategised and goal-orientated action, taken by a government, to deal with specific problems experienced by communities. These can be

distinguished between various policy models, based on their purpose, complexity, target groups and benefits (Colebatch 2000; De Coning and Cloete 2006).

The first type of policy models describes action that needs to be taken, namely *substantive policies* and *procedural policies*. Substantive policies refer to what government should do, for example, building roads and welfare schemes. Procedural policies outline who will take action and how it will be done. The second type of policy models are models that provide resources or intangible benefits, namely *material policies* and *symbolic policies*. Material policies describe the resources and rights that certain social groups are entitled to, for example the rights of women in the workplace and minimum wages. Symbolic policies outline specific changes that need to be made and which appeal to people's values (for example nation-building initiatives). However, Jansen (2001) describes symbolic policies as having no material impact or tangible advantages or disadvantages, since they do not deliver what they are supposed to deliver.

The third group of models are related to the impact that policies have on the society, namely *regulatory* and *redistribution policies*. Regulatory policies are developed from legislation to regulate the actions and behaviour of specific groups, for example a code of conduct for social workers. Redistribution policies refer to the regulation of power and resources of marginalised groups. De Coning and Cloete (2006) also add administrative policies to the types of policies. *Administrative policies* refer to the income and expenditure of a particular government department.

The reality is that, even though the purpose is for the society to benefit by government policies or activities they can have negative consequences on societies (Gerston 2004). It is therefore important to understand public policies not only in terms of content but also in terms of how such policies are implemented.

Policy implementation will therefore be discussed in terms of:

- two different policy-implementation models; and
- impediments that may affect the policy implementation process.

**i) Policy-implementation models**

Policy implementation represents "the conscious conversion of policy plans into reality and represents the effort to put the policy into place" (Gerston 2004:94).

The dominant implementation models are the *classical model* and the *integrationist model* (Figure 3.2). According to Bain (1987), the classical model is a top-down approach and is based on the principle that policy-making is carried out as part of a sequence. Policy-making and implementation are in this case performed as separated or bounded steps. There are clear boundaries between policy-makers and policy implementers, since policy implementers are just viewed as technical experts to implement goals while the policy-makers are viewed as adequate in goal-setting. According to this model, policy-making is usually done and approved by those at the top of the political system, while implementation is viewed as a rational, technical and administrative job and is carried out by those working closer to the grassroots levels (De Coning and Cloete 2006) (Figure 3.2). There is thus a clear differentiation between policy-making and policy implementation since policy-making is followed by implementation, without combining the two.

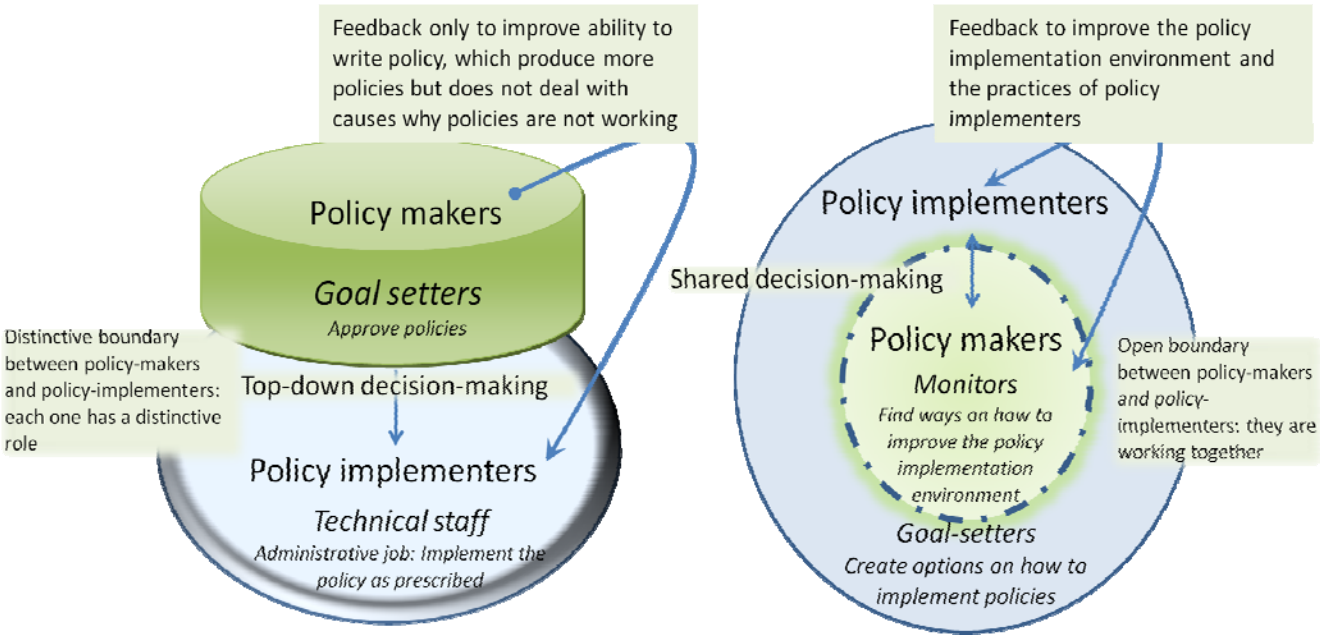



**Figure 3.2: The classical policy-implementation model (left) versus the integrationist model (right) as based on the work of Bain (1987) and Scholes (2005)**

The classical model is related to what Scholes (2005) calls *strategic planning* where top management and a few experts are involved in decision-making through top-down communication in a predetermined format. The outcome is only linked to improved ability to write policies and plans. This is the opposite of strategising where systems thinking is employed to create strategies together with related organisational capabilities. Strategising enables policy-makers to move beyond a procedural approach to developing strategies (policies). This allows employees at different levels to engage in creating future options as they implement the policies (Scholes 2005).

Strategising is related to Bain's (1987) integrationist model to policy-making, which suggests a convergence between policy-making and implementation. The quality of policy implementers is viewed as important in this case, and factors that can influence their behaviour is taken into consideration (Figure 3.2).

**ii) Impediments to policy implementation**

According to De Coning and Cloete (2006), policy-makers assume that decisions to bring about change will automatically lead to a change in institutional behaviour and that change will take place as prescribed. However, the reality is that policy-making can easily be part of a paper revolution where new policies are developed to replace unsuccessfully implemented policies, without taking into consideration why the policies was unsuccessful in the first place. Policy failure is a result of non-implementation or unsuccessful implementation. According to Hunter and Marks (2002), unsuccessful implementation can be attributed to several causes:

- a policy can be carried out exactly as prescribed, but can fail due to external circumstances;
- bad execution of policies; and
- poor policy design.

That is why Crosby (1996) emphasises the importance of understanding systems failures in open systems where the environment, policy designers and policy implementers are taken into consideration. Hunter and Marks (2002) contend that the success of policy implementation is more dependent on the actual implementation than on the policy itself. This statement highlights the importance of policy implementers to be involved in the policy-making process which, in many circumstances, is not the case (Crosby 1996). Therefore, it is necessary to understand the factors that influence policy implementation, like communication, lack of resources, the character of implementers and characteristics of implementation organisations.

*Communication* is one of the major factors that affect policy implementation. In order to ensure successful implementation, communication during the process of implementing policies, needs to be accurate, clear and consistent and needs to specify the aims of the decision-makers. The absence of reliable communication systems and of the free flow of information in the system, may lead to the lack of awareness of decisions and orders (Bain 1987; Lakwo 2004).

A *lack of resources* limits effective policy implementation by policy implementers. Resources include adequate personnel, incentives, finances, operating procedures and operating material (equipment). The allocation of financial resources is in many cases part of a bureaucratic system and a product of negotiation by the most influential actors (Crosby 1996). As stated by Gerston (2004), the recognition of problems is the easy part; it is the availability of resources that plays a significant role in the success of solving the problems.

The *characteristics of the implementation organisation* influence effective policy-making. These include the quality of the staff as well as the number of staff members available, the organisational structure, relationships with other officials or institutions and supportive supervision (Bain 1987; Lakwo 2004).

The *character of implementers* is related to the ability to implement policies successfully as well as the desire to carry them out successfully. The success of policy implementation is, according to Bain (1987), more dependent on the personal characteristics (disposition) of the implementers and the way they implement the policy, than on the practices of the policy-makers and the policy itself. This explains the importance of enhancing the capacity of development workers as they are the ones implementing policies.

Policy implementation is thus affected by all three levels in the system, as described by the UNDP (1998). The access to resources and adequate communication structures pertain to the enabling environment as well as the organisation, while the characteristics of the organisation pertain to the institutional level, and the characteristics of the development workers relate to the individual level.

### 3.3.2 The institutional (entity) level as related to the capacity enhancement of development workers

The *entity* is described by the UNDP (1998), as the department, unity or organisation (like the government) or one of its departments in the system. The dimensions of an organisation include the following:

- mission and strategy;
- culture, which includes organisational and management values (beliefs that influence thoughts, emotions and action) and perceptions of behaviour, leadership and management style and standards (Padaki 2002);
- the organisation structure, which includes organisational functions, rules and procedures, forms of coordination, communication and control (Flood 1999). This

includes further the alignment of functions within different departments according to their expected outcomes (the different departments) and to ensure effective and efficient practices (Chambers 2005);

- performance, which, according to Chambers (2005), is dependent on the management and leadership structure in place, consistent and pro-longed supervision, development workers' pro-longed continuity of service in one place and encouragement of autonomy when planning the work of development workers and evaluating the outcomes;
- processes (flow of events undertaken for a particular activity), which include planning, client management, relationships with other entities, policy development and implementation, monitoring and evaluation, performance management and resource management (UNDP 1998; Flood 1999);
- human resources (including the depth, skills and experiences of staff management and members) (Glickman and Servon 1998), financial resources and information resources (media, electronic and paper); and
- infrastructure, including physical assets, computer systems and telecommunications infrastructure (UNDP 1998) (Figure 3.3).

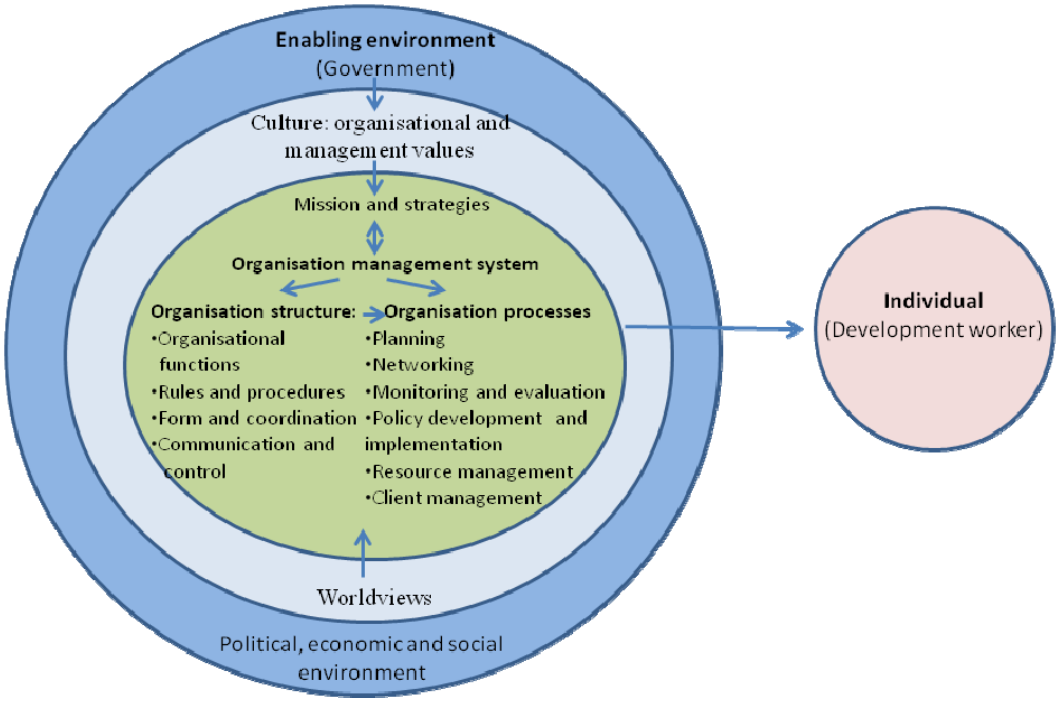



**Figure 3.3: The functioning of the organisation as part of the systems thinking framework when the goal is capacity enhancement of development workers**

The functioning of the organisation, as depicted in Figure 3.3, is affected by the political, economic and social environment as well as the enabling environment, which affects the worldviews and culture of the organisation. The functioning of the organisation is dependent on its structure, which influences the process.

The success of the capacity enhancement process at the organisational level is, according to UNDP (1998), linked to:

- visible leadership;
- consultative and participatory decision-making structures;
- open and transparent decision-making processes; and
- awareness and understanding of the development or capacity enhancement initiative.

According to the UNDP (1998), traditional methods of capacity enhancement include improvement of human resources, processes and organisational structures. However, Lavergne (2004) and Wessels (2000) describe these traditional methods as inappropriate, since they only focus on the development of human capital without focussing on enabling employees to respond to the challenging environment within which they are functioning.

In this research, open systems learning and learning organisations are suggested as capacity enhancement strategies for employee development (Subsection 3.3.2.1), since they focus on the cultivation of an environment for lifelong learning (which continuously contributes to the informing of change).

#### *3.3.2.1 Strategies for employee development in the institution of operation*

According to Walker (1995) (cited in Glickman and Servon 1998), community development officers often face barriers to access adequate training, such as lack of funds and lack of time to attend training sessions. Development workers in Botswana taking part in Lekoko's (2005) study indicated that their in-service training arrangements and content had been uncoordinated and fragmented. Read (2000) asks whether the transfer of knowledge actually translates into tangible gains for community development officers. In the light of these findings, it is important to identify approaches that encourage change, meet financial demands and accommodate time constraints.

The subsequent discussions describe two of the different approaches that can encourage lifelong learning to enhance capacity of individuals and institutions in a systems framework

(see Figure 3.6). These two approaches include an open systems learning framework and the establishment of a learning organisation.

### i) An open systems learning framework

There are, according to Emery (2000), two different environment-system designs in organisations. The first one is *redundancy of parts systems* and the second one is *redundancy of functions systems* (Figure 3.4). *Redundancy of parts* refers to having more people than are required to perform a task at a given time. In this case, power is held by one person (supervisor or manager), and the redundant parts (supervisees) are dependent on that person to act and perform. Learning is inhibited in redundancy of parts systems because employees (supervisees) are not encouraged to solve their own problems or to be innovative and creative. *Redundancy of functions* refers to having more skills and functions than a person can use at a specific point in time. In this case, coordination and control of tasks are embedded in the parts.

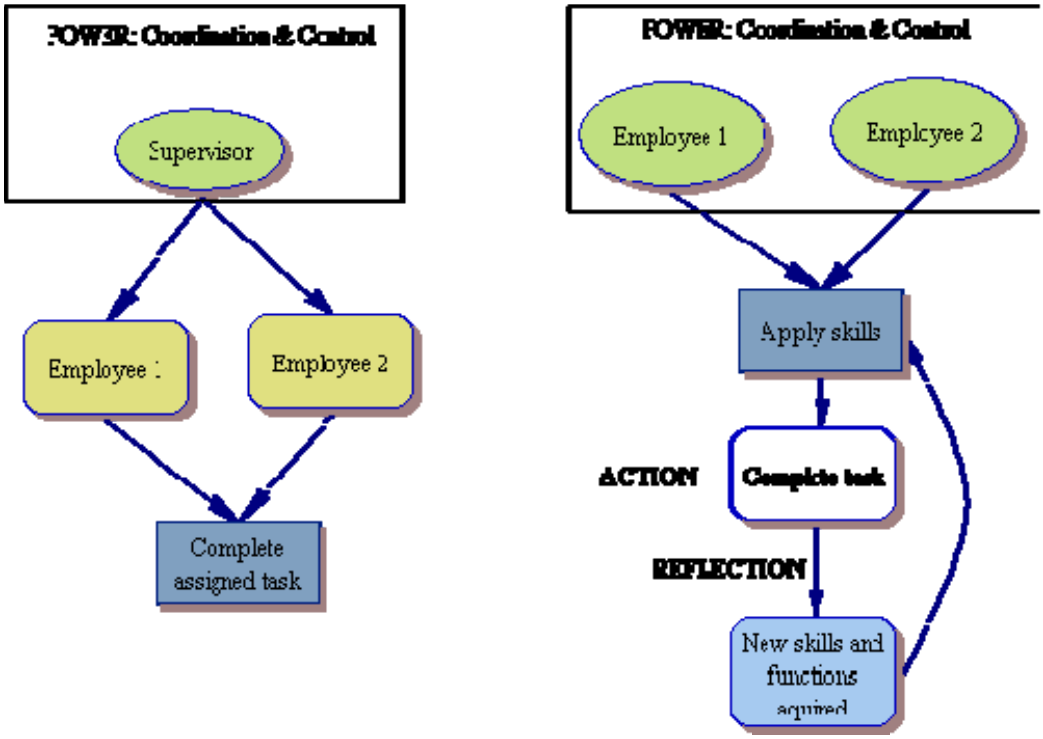



**Figure 3.4: The difference between redundancy of parts and redundancy of functions (as based on the work by Emery [2000]).**

Redundancy of parts is also related to what Oxaal and Baden (1997) and Chambers (2005) refer to as *power over* in organisation relationships. *Power over* refers to having control, and involves a relationship of either domination or subordination. It may include threats of

violence and intimidation, which could lead to active and passive resistance. Power over may inhibit and destroy trust. It also discourages initiative, creativity and local diversity.

A redundancy of parts system (Figure 3.4) tends to create people who are controlled by the organisation, making them instruments of the organisation. On the contrary, redundancy of functions systems produces people who are instruments in the organisation and it encourages freedom in learning and developing. Thus, power is not exerted by the organisation but is embedded in the employees. A redundancy of functions system facilitates the development of *power to, power with* and *power within*. *Power to* refers to the ability of employees to make their own decisions and solve their own problems, resulting in creativity. *Power with* refers to the relationship and interaction with employees or other stakeholders involved to accomplish common goals through collective action and solidarity. *Power within* focusses on individuals gaining confidence in order to act and change their circumstances (Oxaal and Baden 1997; Chambers 2005).

The ideal is thus to create an environment where employees can be creative (*power to*), learn with groups in teams (*power with*) in order for them to question and change their circumstances (*power within*). The above-mentioned environment is created through a redundancy of functions system where members can learn as teams and continue with learning (lifelong learning). As employees engage in lifelong learning practices, their capacity to be creative enhances and brings about transformational change. Transformational change is a result of questioning current operating assumptions, norms and values which may involve deeper inquiry and questioning regarding existing organisational arrangements (Mezirow 1991).

Transformational change will not automatically take place with the discovery of new and alternative methods of resolving challenging problems as in the case of single-loop learning (Argyris 1994). Single-loop learning is adaptive by nature since it involves discovering why things do not work and suggests solutions, as portrayed in Figure 3.5. This type of learning is encouraged through redundancy of parts systems, which only produces incremental change.


**Figure 3.5: Depiction of the process of single-loop learning (based on the work of Argyris [1994] and Rushmer and Kelly [2004])**

Single-loop learning is about correcting systems (Figure 3.5) whereas double-loop learning is about designing new systems (rules, norms and behaviour), rather than correcting them.

Double-loop learning is concerned with gaining a deeper understanding of the causes (linked to assumptions, norms and values of those who affect or are affected by the problem), of why a specific problem exists or why a specific system is not functioning well, which may inform the designing of a new system. This type of learning is encouraged through redundancy of functions systems, since it encourages the change of insight into a problem (see Figure 3.5).

There are thus two types of systems in organisations:

- organisations that encourage employees to develop (redundancy of functions system); and
- organisations that believe employees need considerable direction (organisation of parts system).

The first type of systems in organisations uses double-loop learning, which encourages the creation of new systems, while the second type of organisation believes that employees need to be supervised. The latter impedes lifelong learning since employees are not able to challenge and question the problem situations they face.

In addition to open learning systems that encourage employees to apply double-loop learning and to engage in lifelong learning practices, the development of learning organisations will be discussed in the next subsection.

### ii) Learning organisations

The establishment of learning organisations as a strategy for employee development aims to encourage individual, institutional and societal change (Fukuda-Parr et al. 2002; Irvine et al. 2004). In other words, this strategy allows the individual to influence change within the organisation and it challenges the larger social structure within which the organisation is operating. Individual, institutional and societal change is also linked to the classification by Rappaport (1987), Kroeker (1995), Zimmerman (2000) and Albertyn (2005) of the three different types of empowerment, namely individual (micro), organisational (interface) and societal (macro) empowerment. Empowerment on an individual level refers specifically to the obtainment of control on a personal level (Zimmerman 1995; Albertyn 2005).

Organisational empowerment includes processes and structures that enhance members' skills and which provide them with the mutual support necessary to effect community level change. Within an organisation, new structures, values and forms of interaction can be established. The sharing of control and the encouragement of broad participation in decision-making give members value, respect and power (Zimmerman 2000; Albertyn 2005).

The aim of societal empowerment is to change larger social structures and institutions that keep people in positions of powerlessness. This may pertain to the challenging of their environment, policy processes, the distribution of resources, influence and control through coalitions, joint activities to increase their power and direct challenges of agents of power (Rappaport 1987; Zimmerman 2000).

Roper and Pettit (2003), highlight various principles, which are essential when developing a learning organisation (taking the different levels of empowerment into consideration):

- the development of a learning environment where employees can realise their own potential (individual empowerment);
- the encouragement of dialogue and consciousness-raising in teams to advance creative thinking, reflection and critical thinking (organisational empowerment);
- encouragement of leadership development throughout the organisation (organisational empowerment); and
- the identification and addressing of traditional barriers that suppress creative thinking, or the ability to exert power and influence situations that affect employees (societal empowerment).

The application of the principles of a learning organisation as outlined above by Roper and Petit (2003), together with action inquiry in a systems framework, encourages individuals and teams to question their mental models (to expose existing assumptions) (Senge et al. 1994; Pasteur and Scott-Villiers 2004).

*Action inquiry* is described by Tripp (2003) as an umbrella term for deliberate application of cycles of planning (designing), action (implementation of plan) and inquiry (monitoring and reflection). One form of action inquiry is action research. An action research model is a simplified representation of systems activities represented by data collected about the system (through an action research process of planning, action, observation and reflection), which inform changes that need to be made in the next cycle of events (Zuber-Skerritt 1991; Greenwood and Levin 1998; French and Bell 1999; Akdere 2003). Action research is described in detail in Subsection 5.4.2.1.

Reflection, critical thinking, consciousness raising and dialogue, as important components of action inquiry, enable people to get an understanding of how they form their mental models, while inquiry encourages conversations to openly share views and to develop knowledge about each other's mental models. People are often not aware of their mental models or the effects that the mental model has on behaviour. The internal picture needs to be brought to the surface through dialogue, so that it can be challenged and improved (Strachan 1996). This enables people (in this case, development workers) to have deeper levels of understanding and it enlarges their capacity to adapt intelligently to development situations that are of a complex nature (Pasteur and Scott-Villiers 2004). As an environment is created for critical reflection to take place, transformative learning (learning that encourages change) is encouraged (Freire 1973; Mezirow 1990).

#### iii) Summary of strategies for employee development in the institution

The above subsection (3.3.2.1) described the application of an open systems learning framework and learning organisations. A model is proposed in Figure 3.6 for employee development that brings the concepts of open systems learning framework and learning organisation together.

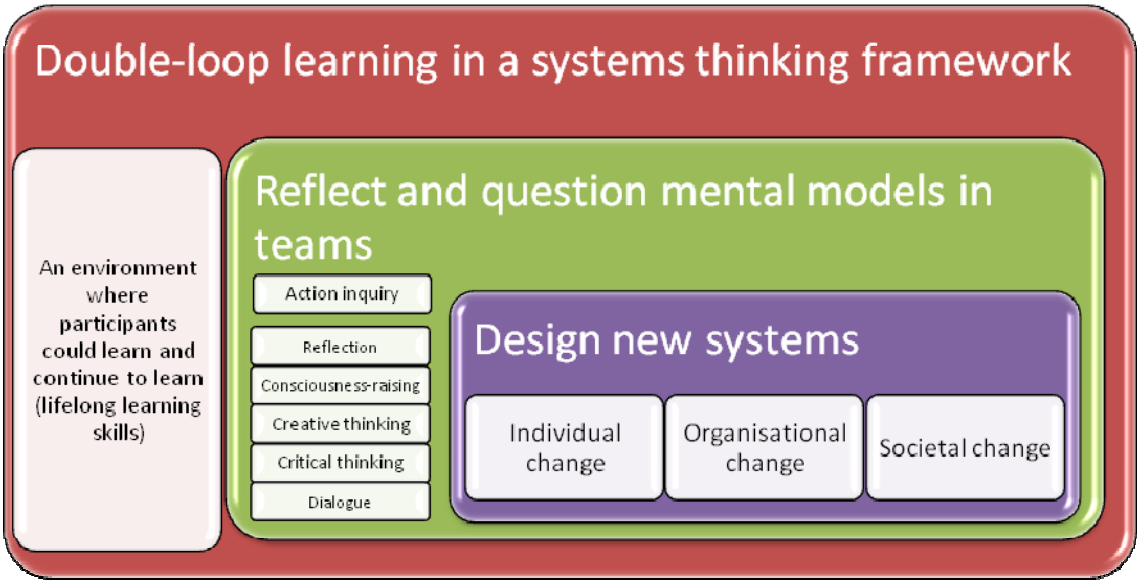



**Figure 3.6: Lifelong learning model based on the theory of learning organisations and open systems learning**

The model (Figure 3.6) is embedded within a systems thinking framework and a lifelong learning environment where double-loop learning is encouraged. This means that, in order to bring change (individual, organisational and societal empowerment), the focus is on challenging the whole system within which the organisation is entrenched. This is done through double-loop learning and the development of lifelong learning skills. The concept of *double-loop learning* implies that short-term solutions are not sought to solve problems but rather ways to redesign and address the whole system (Subsection 3.3.2.1[i]). This can be done through methods of action inquiry (including creative thinking, critical thinking, reflection, consciousness raising, dialogue and leadership development) that encourage questioning of mental models (Subsection 3.3.2.1[ii]).

### *3.3.3 The individual level as related to the capacity enhancement of development workers*

According to the UNDP (1998), the individual level includes (Figure 3.7):

- the individual's capacity to function effectively and efficiently in the organisation and in the environment;
- performance required for particular functions;
- access to information;
- values and attitudes; and
- inter-relationships and teamwork.

At the individual level, skills, knowledge, attitudes and worldviews affect the inter-relationships and teamwork between individuals as well as their performance required for a specific function in the community (Figure 3.7).

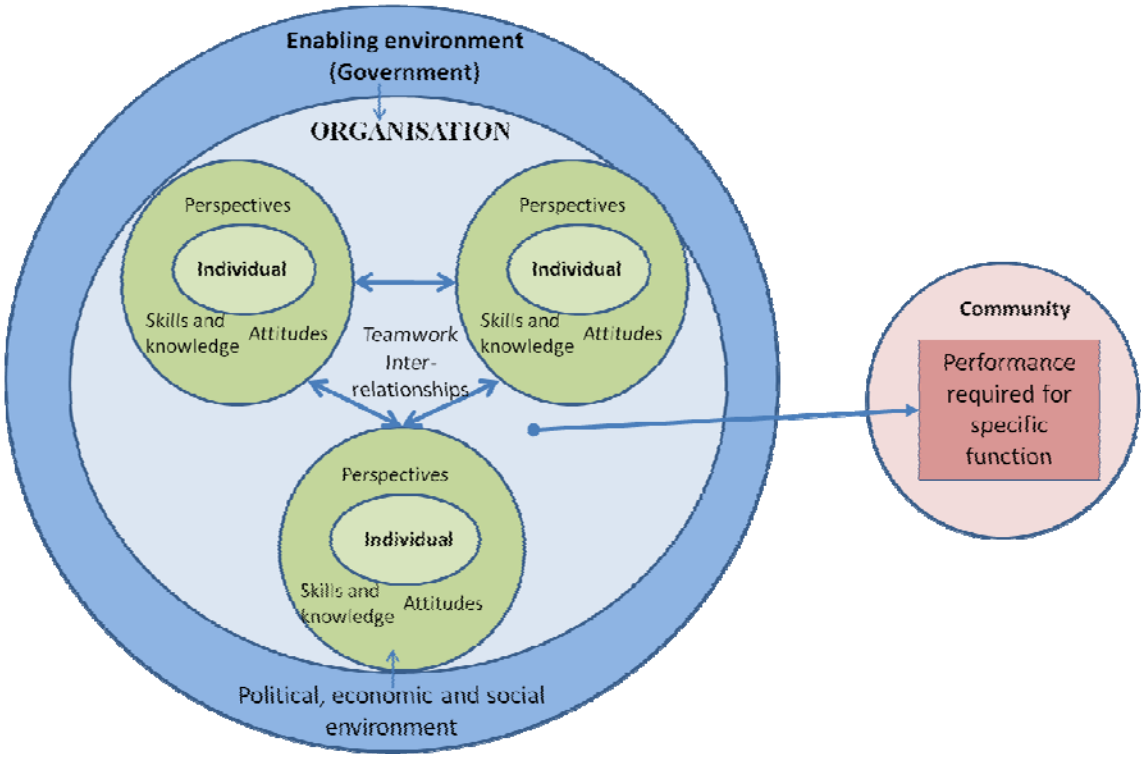



**Figure 3.7: Functioning of the individual in the organisation**

Capacity assessment at the level of the individual includes the individual's ability to function efficiently and effectively within the organisation and the broader governmental system. Traditional individual capacity evaluation includes the assessment of job descriptions and skills assessments, which can highlight the necessary training gaps that require attention (UNDP 1998).

#### *3.3.3.1 Components of capacity enhancement at the individual level*

According to Butcher and Robertson (2003), development workers are facing continuous change, which calls for flexibility, adaptation and resilience. The challenge is to equip development workers to respond to changes inside and outside of their environment. This requires that individuals be challenged to adjust their attitudes, values and practices to the changing environment (Vijayaragavan and Singh 1997). It is necessary for development workers to continually update their knowledge and skills and expand their mindset and to ensure better innovative practices. This requires of them to become resilient and creative lifelong learners (Butcher and Robertson 2003).

Lifelong learning includes learning from the environment and from one another by building on existing knowledge and skills and broadening them as new opportunities arise (UNDP 1998; Fukuda-Parr et al. 2002; Lopes and Theisohn 2004).

This subsequent discussion focusses on a training framework that can be applied to build a foundation for the development of lifelong learning skills, followed by three types of change that may occur as a result of training. These three types of change include skills (know *how*), knowledge (know *what*), and values and attitudes (know *why*). It is not a guarantee that that all types of training (facilitation) will contribute to change but change is, to a large extent, dependent on the facilitation approach.

**i) Formal education of development workers**

The framework within which formal education is applied will have an effect on the development worker's ability to engage in lifelong learning after formal education. The concept *formal education* may be inappropriate to use when lifelong learning is the goal. The term *facilitation* is preferred as it proposes less instruction and more support from educators.

Wessels (2000) proposes that the ever-changing environment (shifting of values, more assertive populations, new tasks and new technologies in organisations) within which public officers (including development workers) function, can no longer rely on traditional subject-based or technical education to prepare them for their careers. Wessels (2000) suggests that a lifelong learning approach, which takes the changing environment into consideration, is required. Traditional subject-based education is rooted in ***behaviourism philosophy***, a top-down teaching approach where control and decision-making are embedded in the facilitator role. The environment is seen as an essential component to bring about change in individuals, and is therefore designed by the facilitator in such a way that it produces the desirable behaviour (Elias and Merriam 1995). This philosophy underpins the technical teaching approach. The technical teaching approach focusses on the acquisition of skills and knowledge as an outcome of learning with no purposeful intention to involve the learners as part of the process of learning (Freire 1970; Mezirow 1990). Learning objectives are only set by the educator and behaviour is enforced through punishment or reward (Elias and Merriam 1995).

According to McClenaghan (2000), the expected outcome of the training of development workers is the enhancement of these workers' social capital so that they can extend it to the community. Social capital enhancement entails a learning process geared towards the

empowerment of individuals and social groups by involving them in participatory activities which can lead to development and change. The challenge is thus to identify a training framework which will contribute to social capital enhancement of development workers (see Table 3.2). Social capital enhancement is related to organisational empowerment and may lead to societal empowerment as described in 3.3.2.1. Apart from the behaviourism philosophy, four other adult education philosophies can be distinguished, of which each produces different outcomes and has a different impact on social capital development.

The ***liberal adult education philosophy*** focusses mainly on the development of knowledge. The educator is the expert and aims to transmit specific knowledge through group discussions and lecturing. The educator challenges the learners to understand the information that is shared and to think about it critically (Elias and Merriam 1995).

The ***progressive adult education philosophy*** supports an egalitarian teaching approach whereby the facilitator and the learners share power. This approach focusses mainly on problem-solving skills and practical knowledge. The educator guides, organises and evaluates learning but does not prescribe how it needs to take place (Elias and Merriam 1995). This adult education philosophy encourages the development of problem-solving skills, which is an important skill for development workers, but it does not deliberately encourage sustainable social action, reflection and change.

The ***humanistic adult education philosophy*** focusses on the holistic development of individuals and encourages personal growth and development (Price 1999). The educators only facilitate the learning process with no emphasis on giving instructions (Price 1999; Boone, Gartin, Wright, Lawrence and Odell 2002). This philosophy is promoted through self-directed learning. The self-directed learning aspect, as promoted through the humanistic adult education philosophy, may contribute to lifelong learning However, the ***radical adult education philosophy*** promotes lifelong learning and deliberately encourages social, political and economic change. According to the radical adult education philosophy, training is seen as a vehicle to bring about social change and to enhance the development of social capital. This is similar to the purpose of the emancipatory facilitation approach (Mezirow 1991; Cranton 1996).

The emancipatory approach also informs institutional change which will benefit societies at large as individuals participate in their own re-education towards self-awareness, self-control and self-understanding (McGregor 1997). This may be best achieved through the application

of experiential learning in an environment where dialogue, consciousness raising, critical thinking, participation and reflection are deliberately promoted. This will ultimately encourage learners to question their assumptions and perspectives (Mezirow 1991; Elias and Merriam 1995). Experiential learning, an approach underpinned by the radical adult education philosophy, is described by Kolb (1984:38) as “the process whereby knowledge is created through transformation of experience” via conceptualising, planning, experiencing and reflection. Continued reflection upon actions and experiences is encouraged to obtain and transform such actions and experiences into deeper understanding (Andresen, Boud and Cohen 2000).

**Table 3.3: The five different adult education philosophies (based on the work by Elias and Merriam 1995)**

| | **Liberal** | **Behavioural** | **Progressive** | **Humanistic** | **Radical** |
|---|---|---|---|---|---|
| **Aim** | To convey specific subject-related knowledge and to encourage learners to become experts. | To enforce the development of a certain behaviour. | To enable the learner to identify and solve problems. | To enable the learner to work independently. | To enable the learner to become aware of and passionate to change oppressive structures and distorted assumptions. |
| **Learner/ educator relationship** | The educator has the expertise to plan, implement and evaluate the learning programme based on his/her own knowledge of and passion for a certain subject. | The educator creates an environment where desired behaviour can be cultivated through the application of reward or punishment. | The educator and learners share power in planning, implementing and evaluating learning. | The educator only facilitates the learning process with no emphasis on instruction. The learner knows best what his/her needs are and plays a central role in planning, implementing and evaluating his/her own learning. | The educator encourages the learner to reflect upon their actions and experiences and to engage in dialogue, consciousness raising and critical thinking. |
| **Outcomes** | The learner may become knowledgeable in the related subject. | The learner acquires a specific skill and/or behaviour. | Development of problem-solving skills. | Encouragement of self-directed learning and development of lifelong learning skills. | Development of lifelong learning skills to bring about social, political and economic changes. |

The radical adult education philosophy is the only approach that encourages social, political and economic change. The other four philosophies prepare learners to be ready for exposure to the radical approach. When the goal is development of social capital (involving participants in participatory activities that can lead to organisational and societal empowerment), the

radical adult education philosophy is the most appropriate. The other four philosophies may encourage the development of social capital, but they do not specifically aim to bring about social, political and economic change.

**ii) Knowledge attainment by development workers as a result of formal training**

Knowledge attainment as a result of formal training is the second component (as discussed in this research) of capacity enhancement at individual level.

Cornford (2002) distinguished between two learning strategies: the metacognitive strategy and the cognitive strategy. The metacognitive strategy focusses on the learning of generic skills through planning for implementation, monitoring and evaluation, which make it more pragmatic. Cognitive strategies, on the other hand, focus on the ability to memorise information, which cause these strategies to be context-specific.

Samoff and Stromquist (2001) argue that the acquisition of knowledge and access to it (as encouraged through cognitive strategies) is not the highest priority. However, it is important to bring about learning whereby individuals are encouraged to generate knowledge themselves and whereby they take responsibility to initiate, maintain, manage and sustain such knowledge themselves. The use of knowledge and the solving of problems is an active process where the problem-solvers are closely involved in obtaining the knowledge that is required (as in the case of metacognitive strategies). Therefore, knowledge acquisition needs to be less dependent on transference and absorption and should rather be a generative process (Samoff and Stromquist 2001). Knowledge as such is not power, as often claimed, but is rather a "critical component in encouraging change and progress" (Samoff and Stromquist 2001:631). The latter is mainly encouraged through the application of the radical adult education philosophy.

**iii) Attainment of skills by development workers as a result of formal training**

Attainment of skills as a result of formal training is the third component (as discussed in this research) of capacity enhancement at individual level. Development workers' practices are, according to Mtshali (2000), often criticised for being irrelevant and for not doing enough. This gives rise to the following question: what are the skills that development workers need to be effective and efficient?

There is a vast amount of literature available on the skills that development workers are expected to have, mostly related to facilitation skills, technical skills, personal skills,

management skills, programme planning, communication skills, networking skills, evaluation skills, research skills and project management skills (for example Ife 1995; Plummer 2000; Lee 2006). A lack of skills (for example communication and collaboration) could for instance lead to ineffective practices and inefficient use of resources (information, human and financial) (Glickman and Servon 1998).

To meet the above-mentioned challenge, as stated by Mtshali (2000), development workers need technical skills as well as skills related to participatory approaches. They also need a deep understanding of how to involve the community throughout community development practices.

Plummer (2000), Butcher and Robertson (2003), Vasilachis de Gialdino (2006) and Lee (2006) focus specifically on skills that will ensure community participation and empowerment. Lee (2006) states that development workers need to be able to develop strategies that will encourage empowerment and participation. Skills development in empowerment approaches needs to be designed with a vertical emphasis (including development workers as well as their supervisors) to ensure that development workers get the necessary support to implement participatory approaches.

Ife (1995) identified four categories of roles that are required from development workers and which are connected to specific skills, namely technical skills, representational skills, facilitative skills and educational skills. A fifth category is added to Ife's four categories, namely the ability to engage in self-development, learning organisation or lifelong learning activities. The only related skills (to the fifth category) that Ife (1995) mentions is the ability to learn from others, to engage in analysis (reflection) and to become aware of other choices that exist (consciousness-raising) as developing skills that development workers require.

These five categories were used as the basis for the development of a skills development framework for this research (see Figure 3.8). Technical, representational, facilitation, development for empowerment, and self-development skills were used as the main concepts for the framework. Facilitation of this framework refers to the interaction and relationship with communities. The term *education* implicates formal training and information sharing and does not always include emancipatory learning and transformation education, as encouraged by the liberation and transformation approaches (Subsections 2.3.2.3 and 2.3.2.4), in its definition. The term *education* is therefore replaced with *social learning* and *community*

*empowerment skills*, which refer to a learning process to empower individuals and groups through participatory activities geared to development and change (McClenaghan 2000).

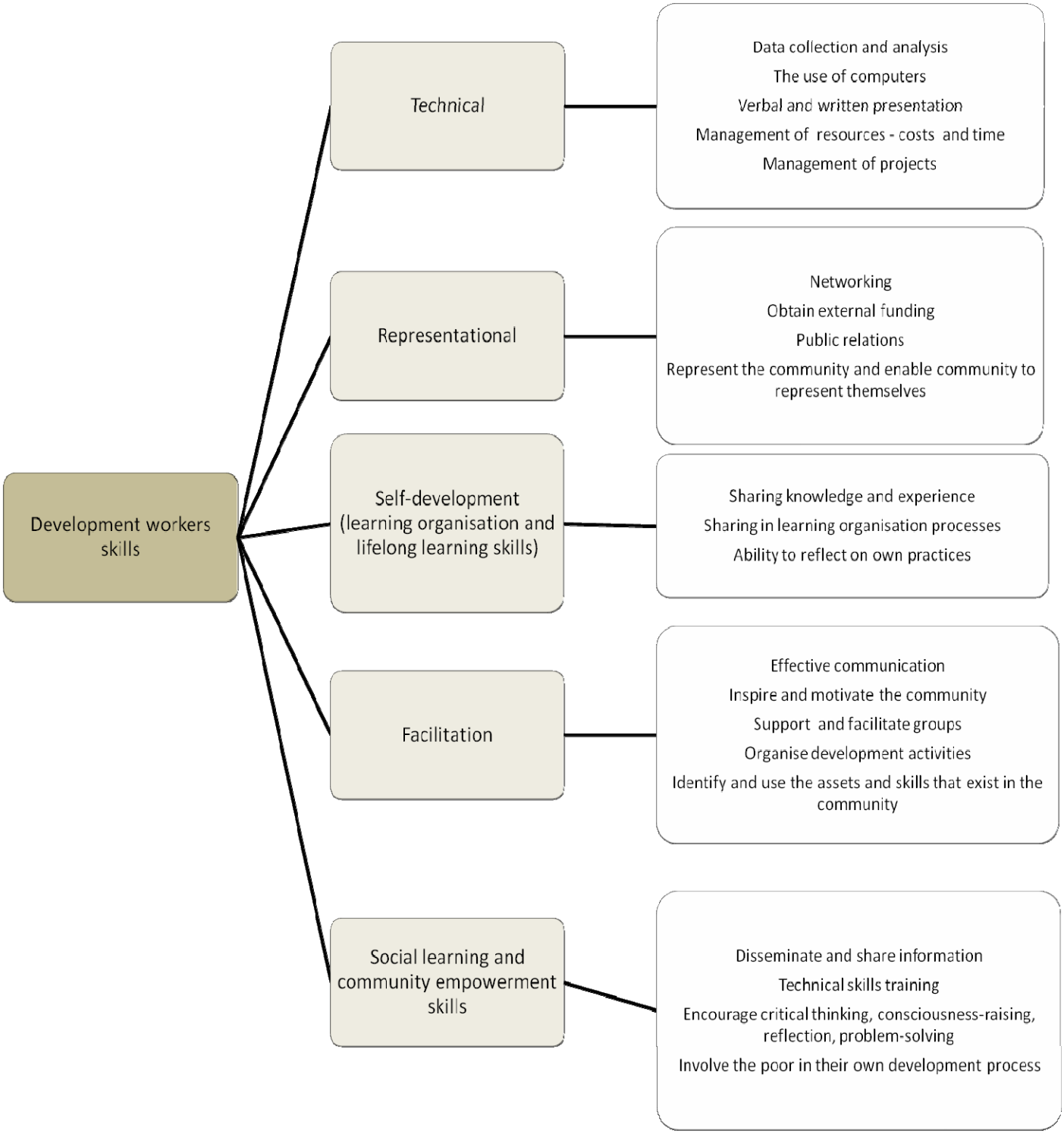



**Figure 3.8: Skills development framework for development workers (as mainly based on the work of IFE [1995], Glickman and Servon [1998], Plummer [2000] and Lee [2006])**

*Technical skills*

Technical skills as outlined in Figure 3.8 that are needed for the community development process include aspects like:

- data collection and analysis, by using social science research methodologies to collect and analyse data;
- the use of computers for record-keeping, analysing data, producing written communication and advertisements;
- written (report writing, discussion papers, minutes of meetings) and verbal (present information to community group) communication;
- management of projects; and
- management of time and cost in an efficient and effective way (Glickman and Servon 1998).

*Representational skills*

*Representational skills* (Figure 3.8) refer to the role of development workers when working with external organisations on behalf of the community or to benefit the community. Research by Toner and Franks (2006) shows that projects are most sustainable when management units are integrated with existing organisations and institutions in order to build on existing skills and capacities of development workers. The following are part of representational roles:

- represent the community and enable the community to represent themselves when putting a case forward (Glickman and Servon 1998);
- the obtainment of external resources to initiate or establish programmes;
- to promote specific issues related to the community through public relations and effective use of the media; and
- to network with different relevant institutions, organisations, private firms, philanthropic, educational and political actors, to enable them to be inclusive and participatory in their approaches based (Glickman and Servon 1998; Butcher and Robertson 2003; Plummer 2000; Vasilachis de Gialdino 2006).

*Facilitation skills*

Facilitation skills (Figure 3.8) pertain to the ability to interact with the community in such a way that a conducive environment for development is created. Facilitation skills include the ability to:

- communicate effectively;
- inspire and motivate the community to take action, and encourage commitment and integrity;
- mediate and negotiate when dealing with conflicting issues in the community;
- support people by affirming them, recognising their value;
- facilitate groups by encouraging consensus building to reach decisions and having meaningful participation;
- identify and use the assets and skills that exist in the community; and
- organise development activities and projects.

*Social learning and community empowerment skills*

Skills related to social learning (Figure 3.8) refer to the ability to apply the emancipatory education approach as based on the work of Mezirow (1991), Cranton (1992), Ife (1995), Butcher and Robertson (2003), Plummer (2000) and Vasilachis de Gialdino (2006). Social learning and community empowerment skills include:

- acquiring the ability to share and disseminate information to the community and obtaining information from the community by:
    - training members of the community in technical knowledge and skills as a basis for their (community members) development experience;
    - encouraging community members to take part in developing programmes based on their own creativity and initiative;
    - encouraging consciousness-raising by providing an awareness of structures of social change where people can participate, and introduce them to alternative ways of functioning;
    - encouraging critical thinking, participation, creative problem-solving and self-reflection that will lead to the questioning of political, social and economical structures; and
- enabling the poor to become involved in their own development process, which includes:
    - applying adequate development approaches within the community system that can enhance the capacity of community members to actively take part in community mobilisation and social action activities;

- being able to approach social policy programmes in such a way that it is relevant to the community's needs, holistic (in order to take the whole systems environment into consideration) and sustainable; and
- understanding the objectives of participation as well as factors that promote it and the way to ensure the sustainability of participation.

Social learning skills are thus geared towards engendering empowerment and sustainable development by including the poor in their development process.

*Ability to engage in self-development, learning organisation and lifelong learning activities*

The challenge is for development workers to engage in activities that encourage self-development, learning organisation and lifelong learning, which will enable them to continuously adapt and develop according to the evolving community needs (Figure 3.8). This can be encouraged through obtaining the following skills:

- sharing knowledge and experience with other development workers (Ife 1995);
- the ability to engage in learning organisation practices by engaging in action inquiry, including reflection, creative thinking, critical thinking, dialogue and consciousness-raising (Roper and Pettit 2003; Pasteur and Scott-Villiers 2004); and
- the ability to reflect on one's own practices and adjust them accordingly (Andresen et al. 2000; Butcher and Robertson 2003).

*Summary of attainment of skills by development workers*

The skills development framework as depicted in Figure 3.8 describes five broad categories of skills that development workers need to be exposed to in order to prepare them for development practices. However, the success of implementing these skills is dependent on the learning framework (as determined by the four adult education philosophies) within which it is applied. Learning of these skills will be of no value if it takes place through a process of knowledge absorption, with no ability to implement it in the challenging environment within which development workers often operate (Samoff and Stromquist 2001). Even though it is important for development workers to acquire skills and be experts in a specific subject (as proposed by the liberal adult education philosophy), to learn specific behaviour and skills (behaviour adult education philosophy) and to be encouraged to solve problems in the real world (progressive adult education philosophy), the emphasis should rather be on the humanistic and radical adult education philosophies. These two philosophies encourage the

development of lifelong learning skills in order to bring about social, economic and political changes in the challenging environment within which development workers are operating (as the specific focus is on the radical adult education philosophy). Application of these two philosophies will thus enable development workers to not just retain gained knowledge but it will also encourage the development of authentic knowledge generation and autonomous action to inform change in the challenging environment (Wessels 2000). This will also enable development workers to question their attitudes (perspectives and beliefs that are linked to their actions). The next subsection (3.3.3.1[iv]) describes the change of attitude as best obtained through the humanistic and radical adult education philosophies.

**iv) Change in attitude as a result of formal training**

The concept *attitude* comprises four components: cognitive (beliefs and perspectives), affective (emotions and feelings), evaluative (positive or negative judgement based on values), and conative (tendency to act in a certain way) (Reber 1995).

According to Lopes and Theisohn (2004), capacity enhancement and transformation at individual level are directly linked to the mindset and personalities (as influenced by language and culture) of individuals. Pasteur and Scott-Villiers (2004) identified individual reflexivity and self-knowledge (understanding the needs of others, building respect, trust and confidence, being adaptable to the dynamics of the relationships, making space for each other and expressing discontent safely) and emotional intelligence as essential components of individual performance. Self-awareness, self-management, social-awareness and relationship skills are four important components of emotional intelligence (Goleman, Boyatzis and McKee 2002). These four components will enable people to improve their own capabilities and performance if they understand why they should change, what should change and how it will benefit them and the institution (Lopes and Theisohn 2004). The first two components (self-awareness and self management) refer to individual skills, and can be learnt through self-experiences like critical self-reflection, even though it is best obtained through socially based strategies like mentoring (Andresen et al. 2000; Cornford 2002). Social awareness and relationship skills are obtained in participatory circumstances where dialogue is encouraged.

**Reflection Box 3.4: Application of systems thinking to enhance the capacity of development workers**

The symptoms of a malfunctioning development system are reflected in practices, attitudes and perspectives of the development workers. Development workers' practices are directly affected by the enabling environment and institutional environment as discussed in Subsections 3.3.1 and 3.3.2. The question is:

- How can systems thinking (for example Ulrich's critical systems heuristics and Checkland's soft systems methodology) be applied to create a platform for organisations to address the root causes of the feelings of powerlessness that development workers are experiencing as they are empowering the poor?

This reflection question is partly addressed in Table 4.1 but it also influenced the application of critical systems heuristics as described in Subsections 5.6.2.1 and 7.3.

## 3.4 Summary

An argument is built in this chapter as to how systems thinking approaches can be applied to enhance the capacity of development workers. The argument includes the application of systems approaches to observe complex situations and to create shared knowledge of what is required to facilitate change in the system in which development workers are operating .

The next chapter, Chapter 4 explains the theoretical framework of this research and integrates the key aspects of Chapters 2 and 3 to define the theoretical framework.

*Chapter 4*

# THE RELATIONSHIP BETWEEN LITERATURE AND DATA COLLECTION THAT INFORMED THE THEORETICAL AND METHODOLOGICAL FRAMEWORK FOR THE RESEARCH

## 4.1 Introduction

Chapters 2 and 3 described literature which informed the theoretical framework of this research. This chapter justifies the theoretical and methodological frameworks applied during the research. The theoretical and methodological frameworks were developed after the implementation of Phase I (four cycles of action research) and Phase II (extensive review of literature). The nature of literature reviewed was informed in large measure by the data produced during Phase I (Figure 4.1).

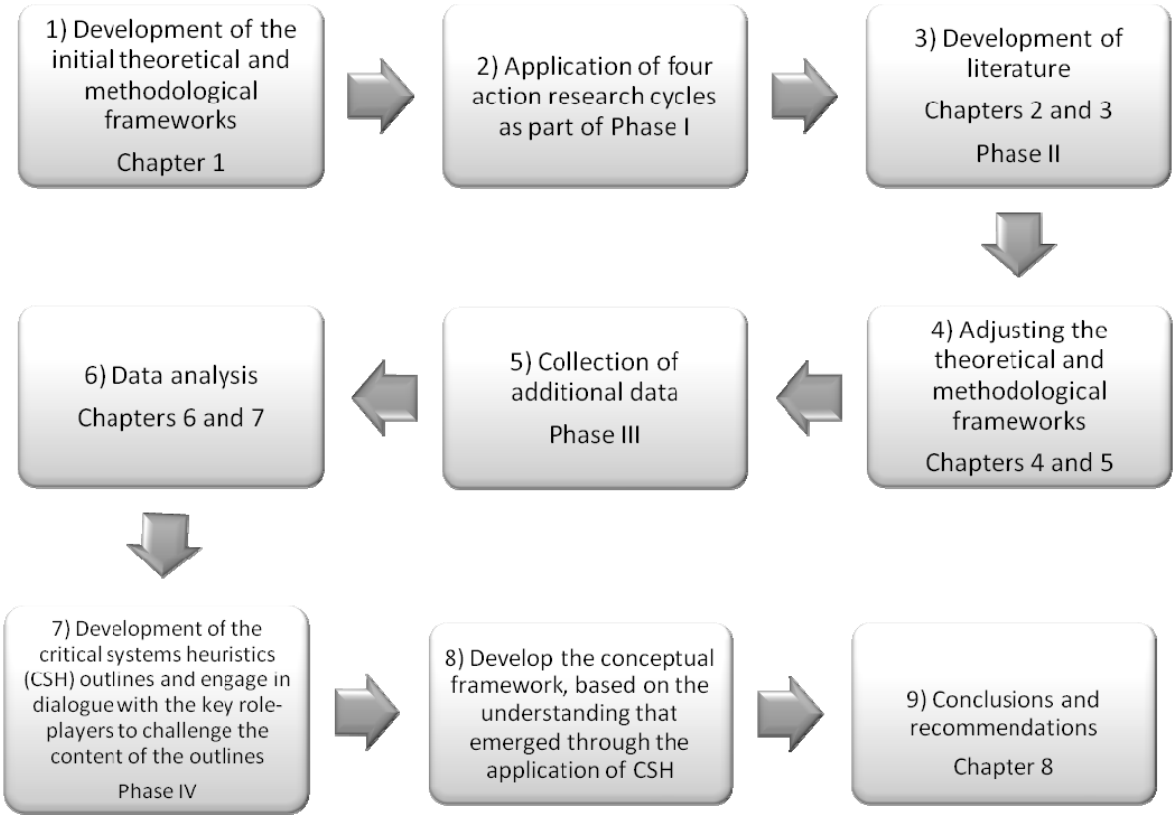



**Figure 4.1: Depiction of the research process to explain how the theoretical and methodological frameworks were developed**

This motivation for conducting this research stems from the researcher's interest in understanding why development workers do not achieve the results of their good intentions to empower the poor. The theoretical framework (Hope and Timmel 1984; Korten 1990; Kroeker 1995) was originally based on an assumption by the researcher that development workers lacked understanding of the right approaches to use for the results they require (Figure 1.1). This assumption was based on observation while the researcher worked with several home economics extension officers in Botswana between 2003 and 2004. This informed the research (Van der Merwe et al. 2008) she conducted with colleagues in 2005 to understand home economics extension officers' empowerment practices and perspectives. The results of the research revealed a discrepancy between what the literature (Freire 1970; Hope and Timmel 1984; Korten 1990; Mezirow 1991; Kroeker 1995; Kabeer 1999; Zimmerman 2000) described as *empowerment practices*, and the community development approaches that were employed by home economics extension officers in Botswana (Figure 1.1). Descriptions of the four community development approaches were outlined in Subsection 2.3.2.

Action research (Figure 1.2) was selected as the methodological framework to describe the process of capacity enhancement of development workers as they implemented the destitute rehabilitation programme. Action research was applied in four cycles of observation, reflection, planning and action.

A search conference framework was used during the first workshop (Action Research Cycle 1) to encourage development workers to reflect on their practices as government workers, as staff members and as implementers of the destitute rehabilitation programme. A search conference is an action research approach within which role players in an organisation identify the direction to take to secure the most desirable future for their organisation (Cabana and Emery 1995; Heckman 1995; Amudavi and Mango 2003).

The search conference framework as applied during the first workshop of this research did not provoke adequate reflection on causes of the problems. The application of subsequent action research cycles was also inadequate to encourage reflection to gain deeper insight into the problems. Instead of gaining deeper insight into aspects that influence destitute rehabilitation, the same problems related to destitute rehabilitation practices emerged through all four of the action research cycles.

It became evident to the researcher that only single-loop learning (Subsection 3.3.2.1[i]) by the development workers was encouraged during the four action research cycles (Phase IV). Much data were collected by the researcher and rich experiences were recorded during the four action research cycles, but, in spite of this, the implementation of the destitute programme was still failing to yield the expected results.

The data generated in Phase I were therefore not described in terms of action research cycles, but was rather viewed as a pool of data. The data were used to gain understanding of the experiences of the development workers and of the destitute and practices related to destitute rehabilitation. Reflection on Phase I data created understanding on why the expected results of destitute rehabilitation were not achieved and what could be done to change this. The results of this reflection contributed to the development of new theoretical and methodological frameworks (Phase II).

Phases III and IV were carried out to meet the researcher's expectation to move from single-loop learning to double-loop learning. These two phases were carried out as a result of the researcher's reflection upon:

- the relevance of the applied data collection methods:
    - reflection on the data collection methods led to the change from a mere action research approach to a systems thinking approach embedded in action research;
- the relevance of the research questions asked:
    - initially the questions were related to the approaches applied by the development workers and had to be altered to relate to the system within which these approaches were applied; and
- the researcher's own perspectives and way of thinking;
    - a review of literature, discussions with colleagues and new insight gained during Phase I influenced the researcher to form new perspectives. The new perspective was that it is necessary to understand the outcomes of development workers' practices in terms of relationships between role players as well as the underlying objectives and perspectives of the role players, which prescribe the actions that they take.

The preceding discussion shows the reflection of the researcher, which resulted in an application of new insight on the research process. This led to the development of the specific

theoretical framework and methodological framework of this research. The following chapter (Chapter 5) describes the methodological framework, as applied in this research, in detail.

## 4.2 Application of systems theory to inform capacity enhancement

The purpose of using systems theory in this research was to move away from focussing solely on finding solutions in the part of the system where the problem is experienced and to rather understand the system and the environment within which development workers function. This section outlines the researcher's understanding of a system (Subsection 4.2.1) based on the literature review (Subsection 3.2.2), the theoretical framework of this research (Subsection 4.2.2) and identification of a systems approach which could inform capacity enhancement of development workers (Subsection 4.2.3).

### *4.2.1 Defining the system*

Literature uncovered (Subsections 3.2.2 and 3.2.3) different aspects that need to be taken into consideration when defining systems. The main purpose of defining a system is to illustrate the system within which a complex situation is embedded. The researcher's own understanding of a systems diagram when defining a system is reflected in Figure 4.2

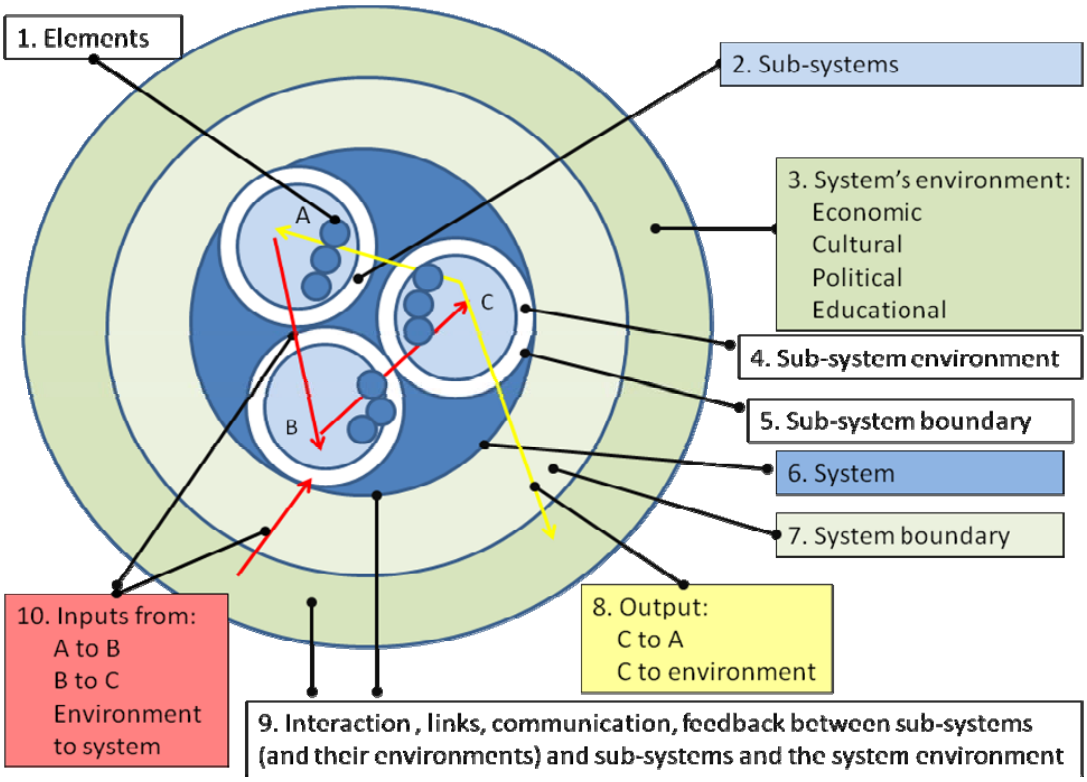



**Figure 4.2: Depiction of a systems map to define a system**

The system (no. 6 in Figure 4.2) is described as being confined by a boundary (no. 7) and a systems environment (no. 3). The system's boundary describes what is included and excluded in the system. Understanding of a system is influenced by where system practitioners draw the boundaries of the system. Sub-systems (no. 2) are embedded in the system, and interact with each other to achieve the specified purpose. Each sub-system is also confined by a boundary (no. 5) and carries out a specific purpose in the system. The input needed to produce an output is unique to each sub-system. There is interaction and feedback between the sub-systems to accomplish the purpose of the system. For example, if the purpose of the system is development, then interaction and feedback should occur between the community, the enabling environment and the organisation in order to implement development efforts (Subsection 3.2.2).

The main purpose of the development system is to give communities access to means, for example resources and training and to enable community members to set their own goals and act upon it (Subsection 2.3.2). That will enable the community to have full control over their livelihood assets (Subsection 2.3.2 and Figure 2.5). There are three specific sub-systems which function within the development system to accomplish the main purpose of the system (Figure 4.3). Development workers, the development organisation (local councils) and the enabling environment (national government) are sub-systems because of the relationship and inter-relatedness between them to accomplish a specific purpose. These sub-systems are arranged as hierarchies in the system (Figure 4.3).


**Figure 4.3: The sub-systems arranged as hierarchies in the system**

The development workers are embedded in the organisational environment and the organisation is embedded in the enabling (government) environment (Subsection 3.2.2 and

Figure 4.3). The elements of each sub-system, as outlined in Figure 4.4, give insight in order to understand the operation of the specific sub-systems.

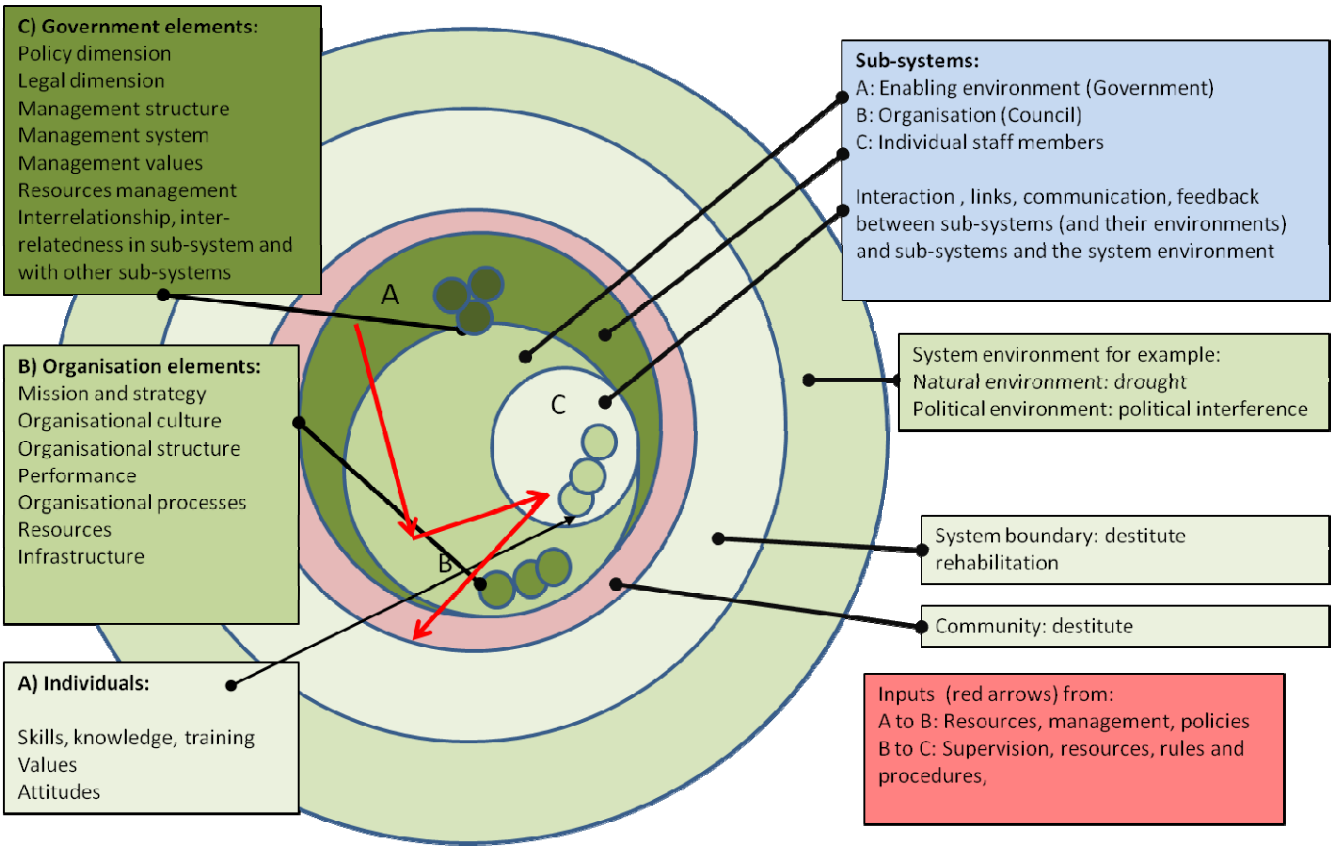



**Figure 4.4: The development system defined**

The different sub-systems need input from one another in order to produce an output. Development workers need, for example, resources and policies from the enabling environment as well as guidance, resources and specific procedures from the organisation. There are specific inter-relationships, interdependencies and interactions amongst the sub-systems, like resources and supportive communications infrastructures. The development workers' practices are affected by their own values and cultures as well as by the input of the organisation (for example resources) and the output of the development workers' work. The organisation in turn depends on the management structure, system and values provided by the enabling environment (government).

The question remains: how does the system affect the destitute, and how do the destitute affect the system, and which approach can be applied to answer this question? The dynamics of the relationship between the destitute and the development system is depicted in Figure 4.5.

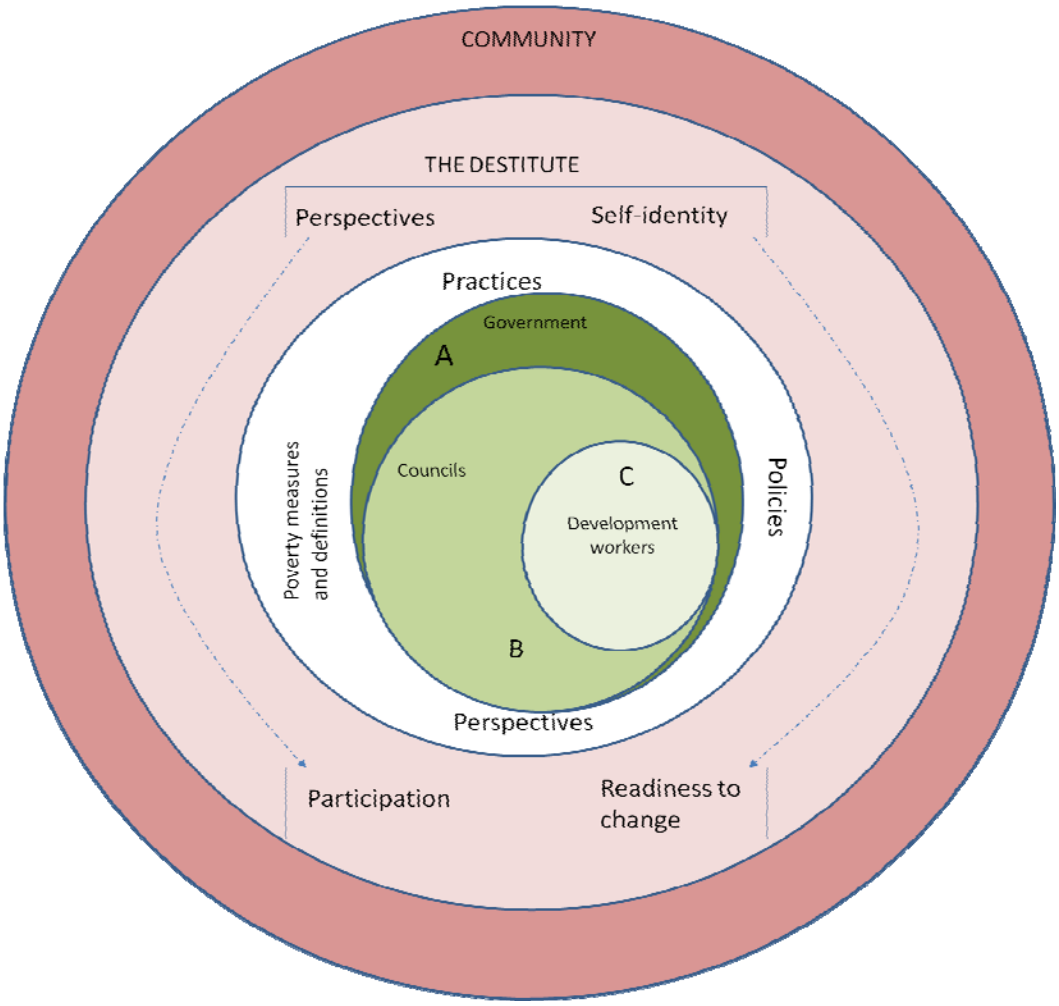



**Figure 4.5: The effect of the development system on the destitute and of the destitute on the development system**

The participation of the destitute in development practices and their readiness to change is influenced by their perspectives and their identity (Figure 4.5). The perspectives and identity of the destitute is affected by the development system (Figure 4.4), including the policies (determined by the way they define and measure poverty) of the development workers. The identity of the destitute is also influenced by the community within which they function.

A theoretical framework (Figure 4.6) was developed for this research, based on the understanding of the development system and the way it affects the destitute.

### *4.2.2 Theoretical framework of the development system and the destitute*

The theoretical framework (Figure 4.6) is informed by Chapters 2 and 3 (Figures 2.2, 2.5, 3.1, 3.3 and 3.7) and by Figure 4.4 (the development system defined) and Figure 4.5 (the effect of the development system on the destitute and the destitute on the development system). This theoretical framework (Figure 4.6) is built upon the initial theoretical framework of this

research (Figure 1.1), which is based on the community development approaches as used by development workers (Figure 2.5).

The theoretical framework (Figure 4.6) describes a cycle of events. The development system affects the development worker's practices, which in turn are affected by the type of poverty that will be addressed, which further affects the identity of the destitute. The identity that the destitute have of themselves and which is embedded in the values of the communities within which they live, affects their perspectives of the development workers and of themselves. This affects the destitute's willingness to participate and their probability to change, which in turn affects the practices of the development workers and their perspectives of the destitute. The way development workers see the destitute once again influences the destitute persons' identity of themselves.

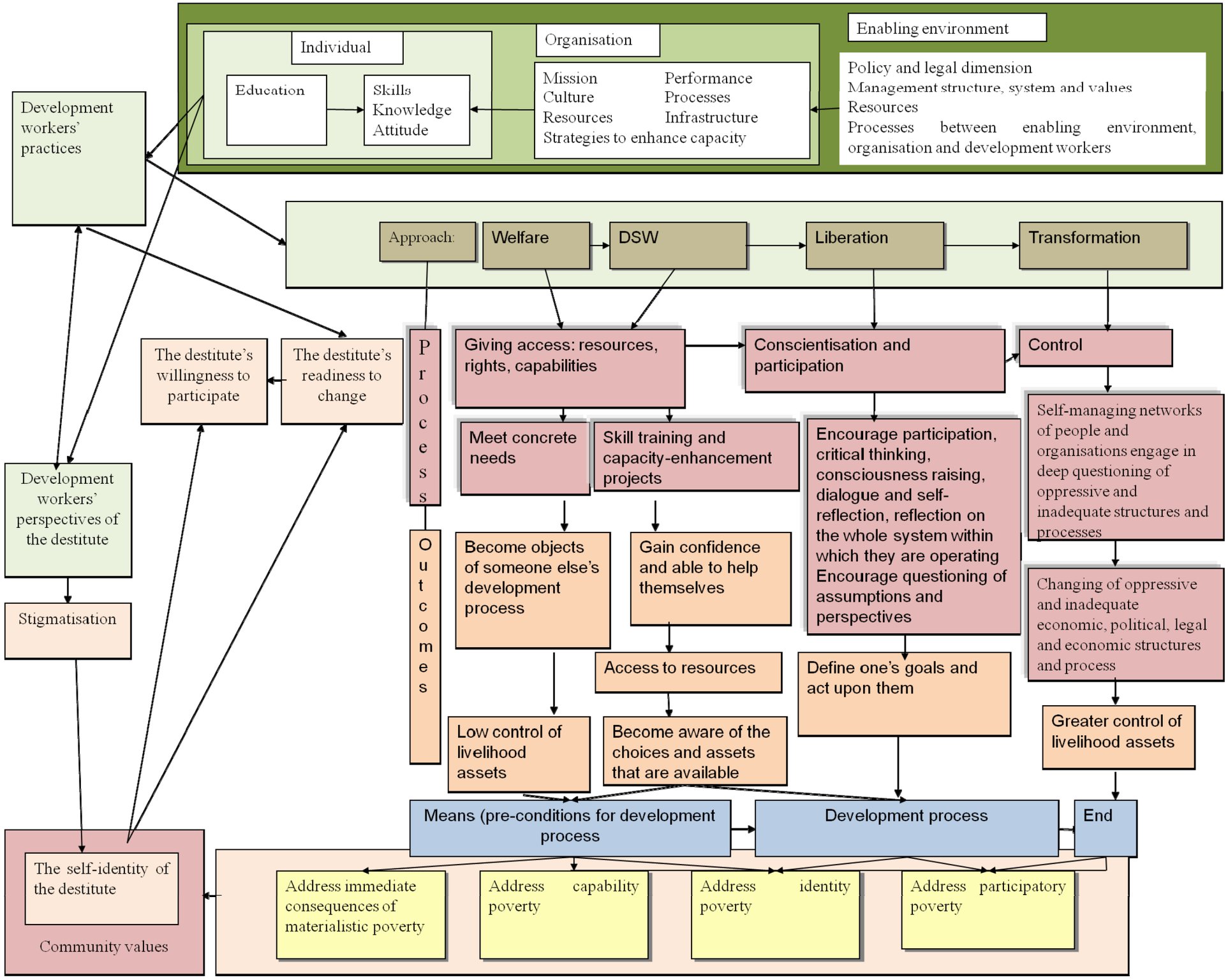



**Figure 4.6: The theoretical framework for this research**

The purpose of the theoretical framework (Figure 4.6) developed for this research was to inform the conceptual framework as an outcome of this research (Figure 7.7). The data interpreted related to Phases I and III (Figures 6.4 and 7.5) were also linked to the theoretical framework to inform components to be included in the conceptual framework (Figure 7.7). The next subsection (4.2.3) describes the selection of an appropriate systems thinking approach to develop the conceptual framework.

### *4.2.3 Selection of an appropriate systems thinking approach to apply in this research*

A systems thinking approach was used in this research to interpret the data generated during Phases I, III and IV. Reflection Box 3.3 in Chapter 3 posed four criteria that can be used to assess systems thinking approaches in order to select the most appropriate one. The four criteria included the ability to:

- identify the complex situation;
- understand the complex situation and find ways to solve it;
- encourage dialogue and critical reflection to inform change; and
- search for deeper levels of shared knowledge by those who are involved in the development system and those affected by the development system.

A fifth criterion was added, which refers to the ability of the systems approach to inform a conceptual framework for capacity enhancement of development workers. Table 4.1 describes a comparison between the five approaches that were discussed in Subsection 3.2.4, namely systems dynamics, viable systems methodology (VSM), soft systems methodology (SSM) and critical systems heuristics (CSH).

**Table 4.1: Comparison of the different systems approaches to identify the most appropriate approach for this research**

| Categories for comparison | Systems dynamics | VSM* | SSM** | CSH*** |
|---|---|---|---|---|
| Nature of the knowable (ontology) | A system with feedback loops. | A system with sub-categories that are not viably based on certain functions and relationships between them. | Problematic situations are perceived differently by different people, which causes complexity. | There is a problematic situation because there are different role players. |
| Ground used to develop knowledge (epistemology) | Systems dynamics explains the systems behaviour and the relationships between sub-systems through the identification of feedback loops. | The function of each role player and the relationship between them, which the organisation needs in order to survive, is identified. | An action research process in which tools, like rich picturing, are used to give insight into the complex situation. | Each role player, role concern and problems related to the different roles are identified through boundary judgements to understand problem aspects, assumptions, questions and solutions strategies. |
| The search for deeper levels of shared knowledge by those who are involved in the system and those affected by the system | Not mentioned | Not mentioned | Not a specific goal | Establish a difference in perspectives between those affected by the system and those involved in the system. |
| Ability to inform a conceptual framework for the capacity enhancement of development workers | Systems dynamics provides a framework to depict the influence (cause and effect) that one element in a situation has on another through a feedback system. | VSM could provide a framework of the functions of each role player, the system within which it operates and the environment that is affecting it. | SSM provides a human activity systems model to encourage dialogue about changes that need to occur. | CSH provides a framework of all the different role players, role concerns and role problems in the actual mode and in the ideal mode as well the inter-relationship between those involved in the system and those affected by it. |

*Viable systems methodology
**Soft systems methodology
***Critical systems heuristics

Table 4.1 outlines a comparison between the four different systems thinking approaches. The challenge is to select an approach that will enable the accomplishment of the six sub-objectives (Subsection 1.5), through identifying and understanding the complex situation and by encouraging deeper inquiry into it (the complex situation). Systems dynamics is a useful

approach to understand the effect that the different sub-systems and elements in the sub-systems have on each other. VSM gives an understanding of the function of each role player in a system and the relationship between the role players. Systems dynamics and VSM provides understanding of the system but do not specifically encourage understanding of the perspectives of the role players and the way they affect each other and the system.

SSM aims to understand the complex situation and to develop human activity systems to transform the system. CSH encourages understanding of the complex situation through critical boundary judgment to understand role players, the role concerns and problems that role players may experience within their roles. This is done in the actual mode and in the ideal mode.

CSH was therefore selected as the appropriate approach to accomplish the main objective of this research, namely the development of the conceptual framework. CSH was specifically applied in this research, together with the coding principles of grounded theory, to interpret the data relevant to Sub-objectives 1 to 4 in order to develop a conceptual framework for the capacity enhancement of development workers (Sub-objective 6).

## 4.3 Summary

This research adopted a systems thinking approach in order to not only find solutions for problems experienced by development workers, but also to understand the complex situations within which the development workers are operating. The solving of problems, experienced by specific parts in the system, brings about incremental change. However, the challenge is to understand the destitute rehabilitation system through reflection and dialogue so that a new system can be designed to bring about change.

Based on the literature review (Chapters 2 and 3), the development system is portrayed in a systems map that describes how the sub-systems influence each other (Figure 4.4) as well as the destitute (Figure 4.5). This informed the development of a theoretical framework that portrays how the development practices are affected by the development system within which their practices are embedded, which in turn affects the identity of the destitute and this then affects the practices of development workers.

CSH is identified as a suitable systems approach to assist in the interpretation of the data and the development of a conceptual framework. CSH encourages understanding of each role player, role concerns and problems that may be experienced. The next chapter (Chapter 5)

puts the use of CSH as part of the methodological framework in context. An outline is given in terms of the research setting, the research sampling and the research methodology and design.

*Chapter 5*

# RESEARCH DESIGN AND METHODOLOGY

## 5.1 Introduction

Chapter 4 described the development of the theoretical framework of this research and it also identified critical systems heuristics (CSH) as an appropriate systems thinking approach to interpret the data obtained. This chapter describes the methodology applied in the research as well as the setting of the research, the sampling of the research, the appropriate research design and methodology and the approaches to data analysis applied. This research was conducted through four phases, all of which were based on the action research approach (Figure 5.1).

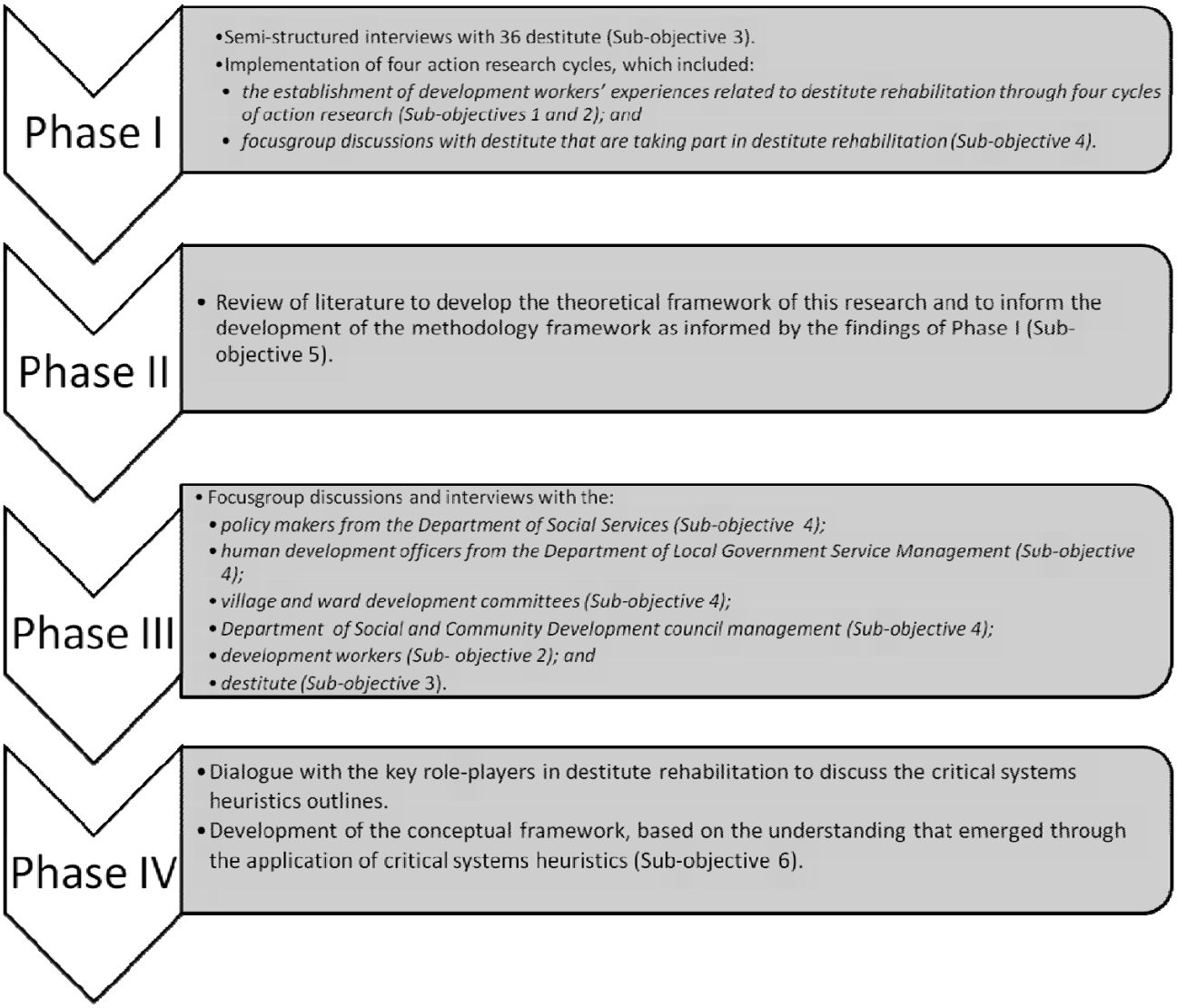



**Figure 5.1: Depiction of the four phases in which this research was conducted**

The data obtained during Phases I and III were analysed through the application of grounded theory coding principles and CSH. CSH outlines were developed to inform the conceptual framework of this research.

## 5.2 Setting of research

Botswana, a landlocked country, is surrounded by Namibia, South Africa, Zambia and Zimbabwe (Figure 5.2). According to the 2005/06 Labour Force Survey (Central statistics Office 2008), it has a population of 1,7 million, of which 30% is affected by poverty (Central Statistics Office 2004).

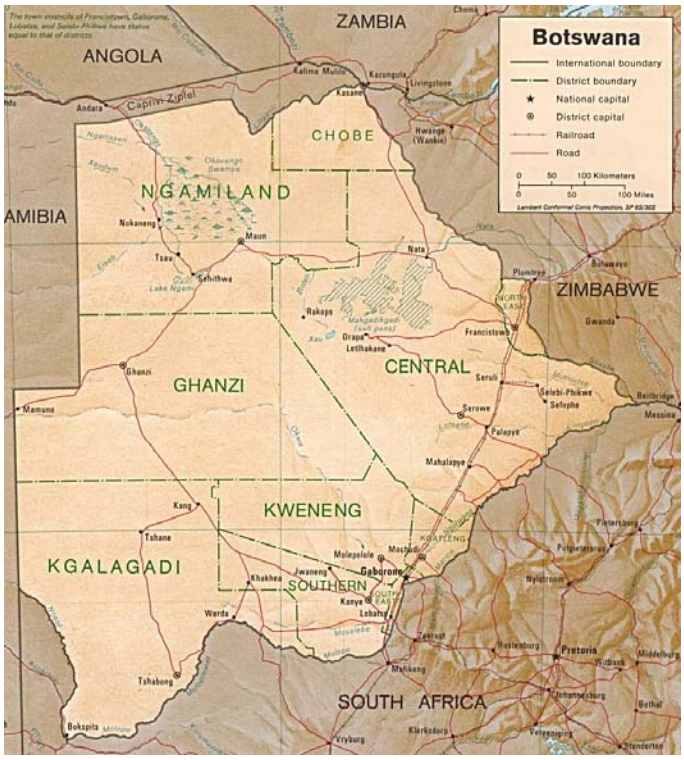



**Figure 5.2: A map of Botswana which reflects the different districts (University of Texas Library s.a.)**

Botswana is divided into 16 district, town and city councils that are governed by the Ministry of Local Government (Figure 5.2). The 16 councils are made up of two city councils (Gaborone and Francistown), four town councils (Lobatse, Selebi Phikwe, Serowe, Molopolole) and ten district councils (Chobe, Ngamiland, Northeast, Ghanzi, Central, Kgalagadi, Kweneng, Kgatleng, Southeast and Southern). Six of the district councils are further divided into sub-districts. The different city, town and district councils are responsible for the following departments: engineering, buildings and architecture, education, social and community development, housing, environmental health, and clinics.

The bulk of poverty reduction and development activities in Botswana are carried out by the Department of Social and Community Development (S&CD) (Mosha 1999). The department is headed by a chief community development officer in each city council and a principal social welfare officer in the district councils, who is directly answerable to the council secretary or town clerk. The Department is divided into the following three sections:

- community development;
- social welfare; and
- home economics extension.

Development workers from all these three sections are responsible for destitute rehabilitation in Botswana.

The different districts are divided into wards. Village and ward development committees are responsible for the welfare of community members in each ward. Development workers liaise with the village development committees in all community development projects. In the urban councils, development workers are also assisted by caregivers to support destitute rehabilitation.

Two different departments in the Ministry of Local government are nationally responsible for the administration of the different councils in Botswana. The Department of Local Government Service Management is responsible for human resource-related matters of all councils and the Department of Social Services is responsible for programme and policy development for the Department of Social and Community Development at council level (Figure 5.3).

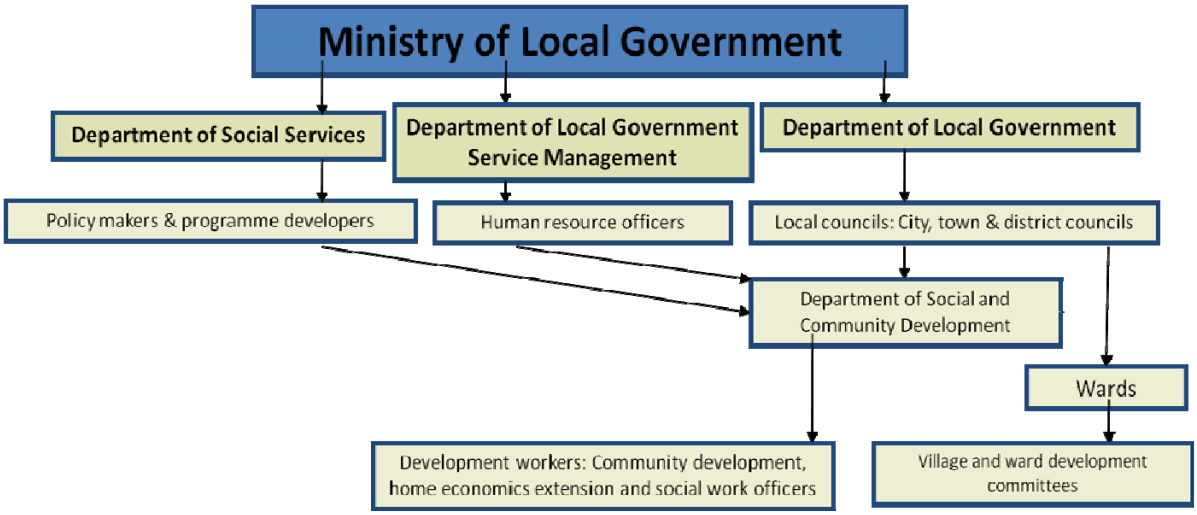



**Figure 5.3: An outline of development workers' position in the ministry of local government**

Three of the 16 districts in Botswana were involved in the research. Purposeful sampling was used to select three of the 16 districts as the setting for the research. The selection criteria were as follows:

- one urban district council (city council), one semi-urban district council and one rural district council had to be included; and
- the three areas needed to be within a 100-km radius of the urban area to make it possible for the researcher to commute.

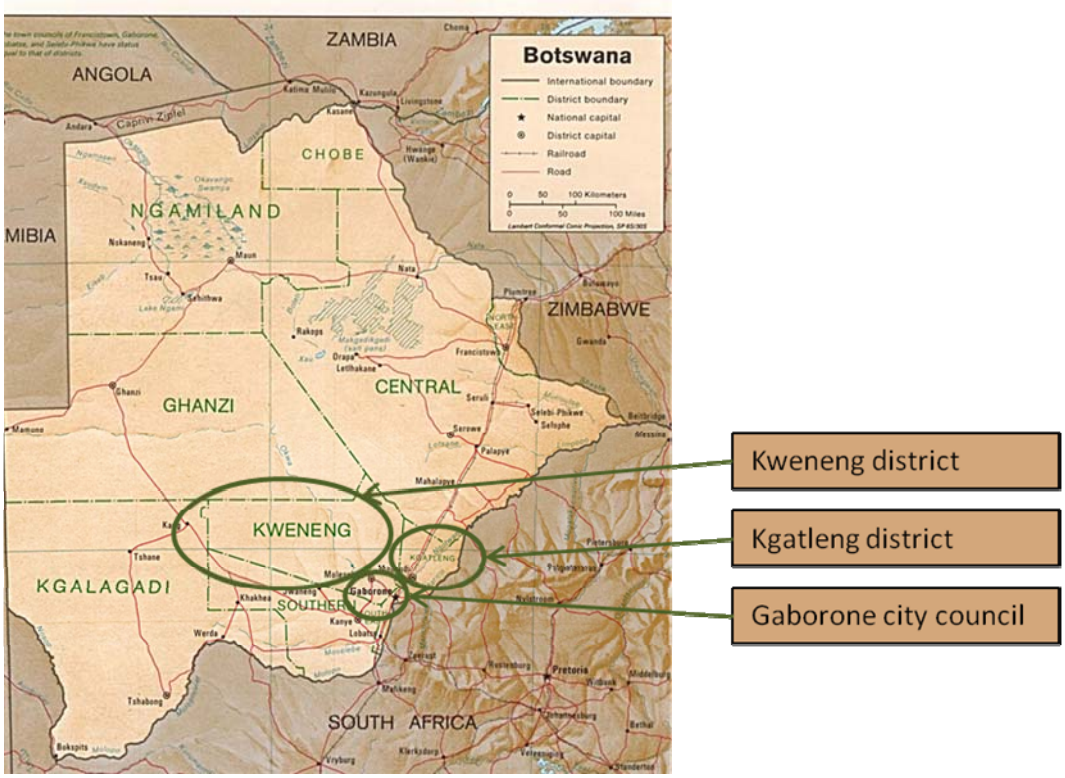



**Figure 5.4: Indication of the location of the three district councils used in the research**

The destitute rehabilitation senior officer from the national Department of Social Services assisted in the selection of the three districts, in terms of the above-mentioned criteria. The urban council selected was Gaborone city council, the semi-urban district was Kweneng district council and the rural district was Kgatleng district council (Figure 5.4).

## 5.3 Research sampling

Destitute rehabilitation is a national priority in Botswana, and the responsibility of the Social and Community Development (S&CD) departments of the different city (urban), town and district councils. The development workers (DWs) who are responsible for destitute rehabilitation include community development officers, home economics extension officers

and social workers. The destitute rehabilitation programme is developed and monitored by the Department of Social Services (DSS) at national government level. The Department of Local Government Service Management (DLGSM) is responsible for all staffing-related issues of development workers. Each council has its own destitute rehabilitation coordinator who gives feedback to the S&CD council management of each particular council. Table 5.1 describes the involvement of the participants in each part of the research.

**Table 5.1: Outline of the participants (sampling) in this research in relation to the different phases of this research and the data collection methods applied**

| Phase of the research | Data collection method | Sampling | Sampling size |
|---|---|---|---|
| **Phase I**<br>Before applying action research cycles | Semi-structured interviews | Destitute from the three different councils | *Urban:* 12 destitute<br>*Semi-urban:* 12 destitute<br>*Rural*: 12 destitute |
| **Phase I**<br>Action Research Cycle I | Workshops based on the search conference framework<br>Focus group discussions after Workshop I | DWs involved in destitute rehabilitation from the three different councils. | *Urban:* 20 DWs<br>*Semi-urban:* 18 DWs<br>*Rural*: 20 DWs |
| **Phase I**<br>Action research Cycles II to IV | Workshops II to IV<br>Focus group discussions after each workshop (Workshops II to IV) | DWs from the 5 destitute rehabilitation groups from the urban district council | *Urban:* 15 DWs |
| | Group discussion after the fourth action research cycle | Project leaders from 4 of the 5 destitute rehabilitation groups | *Urban:* 4 DWs |
| **Phase I**<br>Action research Cycles III and IV | Focus group discussions with the destitute before and after Workshop IV | Destitute involved in the destitute rehabilitation programme offered by the urban council | *Urban*: 14 destitute |
| **Phase III**<br>Focus group discussions with the key role players in destitute rehabilitation | Focus group discussions | DWs involved in destitute rehabilitation from the three different councils | *Urban*: 10 DWs<br>*Semi-urban:* 7 DWs<br>*Rural*: 8 DWs |
| | | Destitute involved in destitute rehabilitation groups and some who have never joined a group | *Urban:* 3 destitute who were in involved in rehabilitation groups before and 6 destitute who have never been involved before<br>*Semi-urban:* 3 destitute who were involved in rehabilitation groups before and 5 destitute who have never been involved before |

| Phase of the research | Data collection method | Sampling | Sampling size |
|---|---|---|---|
| | | | *Rural district:* 3 destitute who were involved in destitute rehabilitation and 7 destitute who have never been involved |
| | | The urban council management team (twice) | *Urban:* 8 members from the council management team |
| | Interviews | Principal social welfare officers | *Semi-urban*: 1 member from the council management team<br>*Rural:* 2 members from the council management team |
| | Focus group discussions | Policy makers (DSS) | 10 members from Department of Social Services |
| | | Ward development committee members and councillors<br><br>Village development committee members | *Urban:* 11 ward development committee members and 6 councillors<br><br>*Semi-urban:* 2 village development committee members<br><br>*Rural*: 2 village development committee members |
| | | DLGSM officers | 3 officers from the training and recruiting section |
| **Phase IV** | Focus group discussions | Destitute from the rural district | 5 destitute not previously part of rehabilitation |
| | | DWs from the rural district | 8 DWs from the rural district council |
| | | Council management team members | 2 council management members from the rural district council. |
| | | Policy makers | 3 members from DSS |
| | Interview | DLGSM officer | 1 member from DLGSM |

The destitute were involved in interviews to gain understanding of their perspectives and experiences related to destitute rehabilitation. The development workers from the three different councils were part of the first workshop to discuss their perspectives, practices and experiences related to destitute rehabilitation. After the first action research cycle, only

development workers from the urban district have been involved in the subsequent three action research cycles (Phase I) (Table 5.1). The reason for only including the urban district was that no progress had been made in the semi-urban and rural districts in terms of destitute rehabilitation. The destitute rehabilitation process could therefore not be monitored in these two districts.

The development workers involved in destitute rehabilitation in the urban district were involved in an additional three cycles of action research (Phase I) to establish their experiences during the destitute rehabilitation process. The experiences of the destitute from the urban district who took part in destitute rehabilitation, were also established in this time by engaging them in focus group discussions during the fourth action research cycle. The policy-makers, village and ward development committees and council management were involved in focus group discussions as part of Phase III. During Phase IV, the destitute, development workers, members of the council management team and policy-makers took part in focus group discussions to discuss the critical system heuristic outlines that informed the conceptual framework (Sub-objective 6). One human resource officer from the Department of Local Government Service Management was interviewed for the same purpose.

All participants were asked for their permission to take part in the interviews, focus group discussions and the workshops. In addition, the permission of participants was also asked to record the conversation by using a Dictaphone. In the cases where permission was not granted by participants, only notes were taken. Any information that was going to be made available to the public contained unidentified names.

### *5.3.1 Destitute*

The Botswana government has a strong social support network in place for the special target groups in Botswana such as the destitute, orphans, the elderly, HIV/AIDS-affected people and the disabled. The destitute are those who are unable to provide for themselves or do not posses sufficient assets to make a living. Citizens can apply for destitute status at the various local city, town or district councils or they might be referred by the local councillors. After assessment they are registered as either temporarily or permanently destitute. It is acknowledged that those who are registered as temporarily destitute may become self-sufficient in future. Destitute rehabilitation is specifically geared towards the temporarily registered destitute (Ministry of Local Government 2002a).

The destitute were involved in interviews (Phase I) and focus group discussions (Phases I, III and IV) (Table 5.1).

#### *5.3.1.1 Destitute involved in the interviews (Phase I)*

A total of 36 destitute were selected by the development workers of the three different councils to take part in the interviews. These 36 destitute were interviewed before instigation of the action research cycles. The interview data were used as base-line information to understand the experiences of the destitute. These destitute were not expected to be part of the destitute rehabilitation process. The criteria for the selection of the destitute were that the destitute need to be able to be rehabilitated and that they need to fall in the following categories:

- gender: six female and six male;
- age: an equal distribution of the categories of 25 – 35 years, 35 – 45 years and 45 – 55 years; and
- resident of any of the different areas or wards in the three different districts.

Purposeful sampling was applied, since development workers knew the destitute in their wards, and it was easier for them to select representatives from all the different criteria categories. These criteria were not met in all cases due to a lack of availability of destitute in all the categories (see Appendix 12).

The researcher visited the destitute at their homes, together with the development workers, for interviews. The development workers obtained consent from the destitute for the interviews to be conducted. In cases where an initially selected destitute person preferred not to be interviewed, an alternative destitute person was identified.

#### *5.3.1.2 Destitute involved in the focus group discussions during destitute rehabilitation (Phase I)*

For the purpose of this research, the process of destitute rehabilitation was only monitored in the urban district, since only development workers of the urban district managed to instigate the destitute rehabilitation process. The destitute who had the potential to be rehabilitated were identified to take part in the rehabilitation process. A workshop was held by the development workers to divide the destitute into five working groups. These were catering, welding, horticulture, cleaning services and waste paper collection. Focus group discussions were conducted with the different groups, which included four from the catering group, two

from the cleaning group, four from the horticulture group, two from the waste paper collection group and two from the welding group.

#### *5.3.1.3 Destitute involved in the focus group discussions as part of Phase III*

The destitute taking part in destitute rehabilitation as well as those who had never been part of any type of rehabilitation project were part of the focus group discussions in Phase III (see Appendix 12). The reason for including destitute who had never been involved in destitute rehabilitation was to get insight in the destitute's experiences to clarify and expand on the data that were already known to the researcher through the application of Phase I. This included ten destitute from the urban district council, eight from the semi-urban district council and nine from the rural district council respectively.

#### *5.3.1.4 Destitute involved in focus group discussions in Phase IV*

Focus group discussions were planned for the destitute from all three of the districts who took part in destitute rehabilitation. Five of the destitute from the rural district who have not participated in destitute rehabilitation programmes before took part in the focus group discussion. This was different to what was planned, since it was planned to include eight destitute who were previously part of destitute rehabilitation projects. The destitute from the urban and semi-urban districts were also unable to take part in the focus group discussions as planned. The development workers and council management from the semi-urban district took part in the focus group discussion with the five destitute.

### *5.3.2 Councils: Department of Social and Community Development*

Destitute rehabilitation is implemented on council level by the Department of Social and Community Development and carried out by the development workers. The development workers are the programme implementers of the policies and programmes at council level, as developed at national level by the Department of Social Services. These development workers are home economics extension officers, social workers and community development officers. The development workers are assisted by caregivers and village development committees.

The programmes that are implemented by development workers are not only related to destitute rehabilitation but also to care of the elderly, orphan care and the empowerment of women among others. Over and above the implemented policies there are specific tasks development workers are expected to perform, such as case reviews of clients and counselling

(social workers), community mobilisation (community development officers) and skills training (home economics extension officers).

#### *5.3.2.1 Development workers involved in Workshop I (Action Research Cycle I)*

Development workers from one urban district council and two district councils (semi-urban district and rural district) took part in the first workshop (consisting of three individual workshops), which was conducted according to the search conference framework (Figure 5.6 and Table 5.2), which provided an outline to work with. Purposeful sampling was applied in selecting the development workers to take part in the workshop. The criteria for the selection of development workers were that they had to be:

- involved in destitute rehabilitation;
- representatives of all three disciplines: home economics extension, social work and community development; and
- employed by the same council for at least one year, and should not have been transferred to another council within the research period.

The council management selected the development workers to take part in the workshops according to the selection criteria. There were 20 development workers involved from the urban district council, 18 from the semi-urban district and 20 from the rural district council.

#### *5.3.2.2 Development workers involved in Action Research Cycles II to IV*

Action Research Cycles II to IV continued with only the urban district council to gain an understanding of the development workers' experiences and practices during the implementation of the destitute rehabilitation programme (Sub-objective 2). Fifteen development workers from the urban district council were involved in three more workshops (observation, reflection and planning of action research cycle) and monitoring sessions (as done during the implementation stage of the action research cycles) in between the workshops. The development workers formed five groups according to the five different income-generation projects. Three development workers were involved with the catering group, two with the cleaning group, four with waste paper collection, four with horticulture and two with welding. Focus group discussions were conducted with these five groups as part of monitoring in between and after the different workshops.

#### *5.3.2.3 Development workers involved in a group discussion after Workshop IV (Phase I)*

Four of the five destitute rehabilitation project leaders (catering, cleaning, welding and waste paper collection) took part in a recorded group discussion without the researcher. The horticulture group was not available to take part in these two activities.

#### *5.3.2.4 Development workers involved in focus group discussions in Phase III*

For Phase III, it was planned to use development workers who had been part of the first workshop of the focus group discussions. However, before this could happen some of the development workers were transferred to other councils. Newly appointed development workers in the three different councils, who were responsible for destitute rehabilitation, were therefore included.

Ten development workers from the urban district participated in a focus group discussion during Phase III. Of these, three had not previously been part of the research but had since joined the destitute rehabilitation team. Seven development workers from the semi-urban district took part in the focus group discussion. Of these, two had not previously been part of the research. From the rural district, eight development workers took part in the focus group discussion, three of whom had not previously been part of the research.

#### *5.3.2.5 Development workers involved in focus group discussions in Phase IV*

Phase IV was supposed to include focus group discussions with development workers from all three districts (together with Social and Community Development (S&CD) council management and the destitute). In the end, only development workers from the semi-urban district council could participate. The other two councils were not able to arrange meetings with the development workers. Eight development workers took part in the combined focus group discussion of which five had not previously taken part in discussions. These five were included to replace those who had been transferred to other councils.

#### *5.3.2.6 Council management team*

The city council management team were involved in two focus group discussions (eight months apart) as part of Phase III (Subsection 5.5.3.3). Eight members were involved in both discussions, including the head of department, the deputy head of department, two senior general officers (heads of designated areas), the senior community development officer, two orphanage care officers and the senior home economics extension officer (destitute rehabilitation coordinator).

In the semi-urban district, only the chief development officer was interviewed as part of Phase III. Only the principal social welfare officer from the rural district took part in the interview together with the home economics extension officer I.

In Phase IV, two S&CD council management members of the semi-urban district took part in the combined focus group discussion together with destitute and development workers.

#### *5.3.2.7 Village and ward development committees (Phase III)*

The village and development committees consist of members from the community who serve as mediators between the community and councils. According to Khama (2005), these committees were established for four main reasons:

- to determine whether communities could meet their needs through self-help community action plans;
- to provide a platform for dialogue between the following groups: village elders, politicians, district authorities (councils) and a particular community to enhance exchange and flow of information on development projects;
- to ensure that developmental projects are sensitive to the needs of the involved role players; and
- to strengthen the democratic standards and norms of the different communities.

The ward development committees operated in the urban district council while the village development committees operated in the district councils. The village and ward development committee members of each council were identified by the senior management of the different councils to participate in this research. The following criteria were applied:

- members needed to work directly with the destitute; and
- members needed to represent different wards in the council area.

There are 26 ward development committees (WDCs) in the urban district, and each committee comprises 10 members. The 11 WDC members who participated in the focus group discussion were chairpersons from different WDCs. Six councillors were also included in the discussion with village development committee members from the urban council. There are 32 village development committees (VDCs) in the semi-urban district, governed by an umbrella VDC committee. Each committee comprises of ten members. Ten VDC members were invited but only the chairperson and secretary of the umbrella committee participated in

the focus group discussion. There are 77 VDCs in the rural district. Each committee comprises of 10 members. Ten VDC members were invited for a focus group discussion but only two committee members from two different VDCs attended.

VDCs and WDCs were not included in Phase IV since they did not contribute to the generation of any new data during Phase III.

### *5.3.3 Local government (national level)*

The Department of Social Services (DSS) and the Department of Local Government Service Management (DLGSM) are national governmental departments that are applicable to this research, since they directly affect the development workers' practices. Both these departments are part of the Ministry of Local Government. The DSS is responsible for policy development as implemented by the development workers, and the DLGSM is responsible for the training and recruitment of development workers.

#### *5.3.3.1 Department of Social Services*

The Department of Social Services (DSS) is headed by a director and a deputy director and they report directly to the permanent secretary. The director and deputy director together with four senior officers form the senior management of the department of social services. Ten policy-makers took part in the focus group discussion in Phase III of this research (Table 5.1). The ten included:

- director;
- deputy director;
- principal social welfare officer (specialised services);
- principal home economics extension officer;
- a senior community development officer;
- three senior social workers (destitute and elderly, orphanage and home-based care);
- the acting commissioner of social benefits; and
- the principal development officer I (remote area development programme)

All the different specialisations (for example community development and home economics extension) as well as the most senior positions (director and acting director) were therefore represented.

Only three policy-makers took part in the focus group discussion in Phase IV, even though ten were invited.

#### *5.3.3.2 Department of Local Government Service Management*

The management team of the DLGSM includes the director, training director, assistant establishment director training, acting management analyst and heads of the following sections: development recruitment section, and manpower planning, industrial class and recruitment. Only the training director, assistant establishment director training and acting management analyst participated in the focus group discussion. The acting management analyst represented the recruitment section and the training director represented the director, since he (the director) was unavailable. The human resources planning section and the industrial section were not present due to the fact that their field of specialisation did not influence the practices of the development workers.

It was planned to have the three officers who took part in the focus group discussion in Phase III, also included in the focus group discussion of Phase IV. However, only the training director could take part. The other two officers were no longer working at the DLGSM at the time of the discussion.

## 5.4 Research design and methodology

This section on research design and methodology outlines firstly, the philosophical stance of this research (based on the interpretivist paradigm), secondly, the action research methodological framework, thirdly, the data collection methods (workshops, focus group discussions and interviews) and lastly, the methods of data analysis.

### *5.4.1 Philosophical alignment*

The philosophical alignment describes the rationale of decisions made related to the selection of the research design and methodology. In order to understand the philosophical alignment of this research the research paradigm and the ontological and epistemological stance are discussed in Subsections 5.4.1.1–5.4.1.3.

#### *5.4.1.1 Research paradigm*

The term *research paradigm* refers to the primary philosophical point that underpins the research process (De Villiers 2005). The stance of this research is linked to the interpretivist paradigm, where knowledge is socially constructed (Lather 2006). The interpretivist paradigm

is a shift away from positivism. Positivism aims to find truth and adequate ways to prove the truth in order to make predictions related to the researched (Lather 2006).

On the contrary, interpretivists propose to understand participants in terms of their intentions, beliefs, values and reasons and self-understanding (Henning, Van Rensburg and Smit 2004). According to the interpretivist paradigm, the truth is, subjective and rooted in the observer's frame of reference. The use of qualitative methods of data collection and interpretation focusses on the experiences, actions, values and perspectives of the researched, rather than on accurate, empirical findings. The interpretivists understand and construct their world by means of multiple perspectives. The interpretivist paradigm is taken a step further by the critical paradigm, since critical theorists go beyond merely understanding the researched. Critical theorists aim to identify and question oppressive processes and power relationships in order to build a new world or future (Henning et al. 2004; Lather 2006).

The interpretive paradigm describes best the outcome that this research wants to achieve, which is similar to what Jackson (2000:211) explains as the reason for applying the interpretive systems approach: "…it wants to tease out integrative values from multiple perspectives and so assist managers to predict and control outcomes." This research aims to describe knowledge gained *about* experience rather than knowledge gained *from* experience, where the latter is considered second-order knowledge by Laurillard (1993). The interpretive paradigm instead of the critical paradigm is viewed as applicable to this research since it does not take a stand for one exploited or disempowered group. It became evident that there are more than one disempowered (powerless) group (both the destitute and the development workers), which necessitated understanding of the system within which the development workers operate while working towards destitute rehabilitation.

The discussions below (Subsections 5.4.1.2 and 5.4.1.3) describe the philosophical nature of the paradigm in terms of the nature of reality (ontology) and the basis used to develop the knowledge (epistemology).

#### *5.4.1.2 The ontology stance of this research*

Ontology is the nature of the knowable (Bullock 1993) or the theory of the nature of reality (Delanty and Strydom 2003). This section describes ontology of research as seen by the positivists, the interpretivists and the critical theorists, as well as the ontology stance of this research. The positivists see the nature of reality as concrete facts that can be observed (Blaikie 1993; Delanty and Strydom 2003). For the positivists, reality is found in a specific

segment in the physico-biological world and no relationship is looked for between the parts of the natural world and the parts of the social world (Bawden 1991). Positivists thus believe that the things (in the natural world) they are experiencing are those which exist (Wainwright 1997).

The interpretivists, on the contrary, understand reality through social interaction whereby social actors negotiate the meanings for actions and situations (Blaikie 1993). According to the interpretivists, reality is not embedded in the natural world or context of the research but is rather found in the social world (Bawden 1991). Critical theorists view reality as the struggle of power relationships between systems and view the different entities in the world as processes in a bigger system instead of seeing them as stagnant or as individual entities (Neuman 2003; Banathy and Jenlink 2004). Reality for critical theorists is thus embedded in the whole system of which the researcher is an integral part.

Since the interpretive paradigm describes this research best, the ontological stance of this research is that reality is dependent on the whole system within which meaning is sought. Reality is not only derived from interaction between the researcher and the researched. Rather, it is derived from a deliberate and purposeful effort to understand the researched in the context of the whole system so that the understanding can inform change. Change is seen as a result of understanding and is subjective to the interpretation of the newly acquired knowledge.

#### *5.4.1.3 The epistemology stance of this research*

Epistemology describes the basis researchers use to develop the knowledge they have. The current research viewed the participants not as objects whose performance and expectations were to be statistically assessed but rather as participants negotiating and sharing their views on how to construct a better world. Participants were encouraged to reflect upon their practices, experiences and perspectives to allow questioning of the structures and social systems within which they are operating. This is similar to how Bawden (1991) views himself as a researcher: “I see myself as a systemic action researcher, actively participating with others in the critical exploration of complex and dynamic issues which relate to the relationship between people and their physical and socio-cultural environments.”

In this research, knowledge emerged through the relationship between people and the researcher. This is in contrast with positivism which views knowledge as something that can

be discovered and understood objectively, and newly acquired knowledge as something that needs to be quantified and measurable.

### 5.4.2 Research methodology

The concept of *methodology* was initially seen by researchers as a body of knowledge that describes the method applied in research (Checkland 1999). Checkland (1999) describes how his definition of methodology was changed by Durkheim's view that normal scientific methods make it difficult to inquire into human situations. Checkland explains the concept of *methodology* as a set of principles for the method. This set of principles encourages the intellectual process of analysis. The research methodology in this research is action research and it drew from systems theory. The underpinning methodology of action research is social inquiry since the aim is to bring about improvement in areas of concern through engaging in action research cycles which are based on systems concepts (Checkland 1999).

#### 5.4.2.1 Action research

The explicit goal of action research is to improve situations and to make changes to the environment by planning in participatory circumstances towards informed change and to change practices accordingly (Zuber-Skerritt 1991; Greenwood and Levin 1998). Strategic action is the key characteristic of action research, which is encouraged through a spiral of cycles of planning, acting, observing and reflecting. Participants are given the power to act in order to bring about change by allowing such participants to plan towards change themselves (Zuber-Skerritt 1991).

According to Packham and Sriskandarajah (2005), action research starts when the researcher joins a group of people who are concerned about improving their situation. In the current research, the researcher joined a group of development workers who had one common goal, namely rehabilitating the destitute. The problem attached to destitute rehabilitation in Botswana is that rehabilitation efforts so far have not yet produced the intended results.

Action research was applied in the research to develop new knowledge together with the participants on how to deal with the problem situation. Action research is thus not used to explain a process of change but rather to explain the process of understanding the problem, which informs change. The following statement by Bawden (1991:11) best describes the application of action research in this research: "I seek to find out about my world such that I can take informed action in it." This statement highlights the importance of learning as part of the process of informing change. Learning, as the underpinning goal of this research, was

accomplished by a combination of discovering the problem situation and taking appropriate action.

The process of achieving this goal is best described by the concepts of single-loop and double-loop learning (Subsection 3.3.2.1[i]). Single-loop learning focuses on the find of mere solutions to a problem situation. Double-loop learning allowed the researcher to make meaning in the complex situation related to destitute rehabilitation by observing situations from many perspectives. The application of double-loop learning encouraged the researcher to question the following aspects:

- the relevance of applied data collection methods;
- whether the questions asked were relevant; and
- the researcher's own worldview and way of thinking (Subsection 4.1).

In order to respond to these questions, this research was conducted in four phases all of which were based on the action research approach. The first phase of this research included single-loop learning while the subsequent three phases encouraged double-loop learning. The main aim of Phase I of this research was to plan, implement and evaluate the implementation of the destitute rehabilitation programme, together with the development workers, through four cycles of action research (Figure 5.5). This allowed the researcher and participants to have a clearer understanding of:

- the operational system within which rehabilitation takes place;
- the practices, perspectives and experiences of the development workers during destitute rehabilitation; and
- the destitute's experiences during implementation of the destitute rehabilitation programme.

Thirty-six destitute were interviewed before the instigation of the first action research cycle, which enabled the researcher to understand the context of the destitute in terms of the psychological, physical, human and economic environment. Phase I was the only pre-determined action of this research.

Data collected in Phase I required the identification of a new methodological approach to inform the system that influences development workers' destitute rehabilitation practices (Sub-objective 5). Phase II therefore included an extensive literature review to identify key components to be included in the theoretical framework.

Phase III included focus group discussions with the role players who were directly involved in destitute rehabilitation (development workers, destitute, human resource officers, policy-makers, S&CD council management teams and village and ward development committees). Phase IV involved the conceptualisation of CSH outlines based on the findings of Phases I and III. This was followed by a dialogue with the key role players in destitute rehabilitation (except for village and ward development committees). Discussions were in terms of changes that had to be made to the CSH outlines in order to develop the conceptual framework of this research.

Action research characteristics that have been taken into consideration in this research during the four phases include the following:

- The researcher's aim in the action research process was to create a platform where all role players' definitions (own meaning and expectation) of rehabilitation and their experiences and perspective could become evident. The newly acquired knowledge served as a guide for a more in-depth inquiry, which would inform appropriate action to bring about change. The researcher constructed new knowledge together with the participants regarding their entire system operation, and at the same time made meaning of newly constructed knowledge through reflective enquiry.
- Decisions made by the researcher were dependent on knowledge gained through the action research process. All decisions were made in conjunction with the participants. Power was shared equally between the researcher and the participants. Bawden (1991) states that it is essential to share perspectives, values, worldviews and dispositions in order for the researcher to make his/her personal understanding, meanings and actions publicly useful.
- The cyclic nature of action research was taken into consideration by leading the development workers through four cycles of action research in Phase I. This was followed by three more action research cycles (Figure 5.5) to develop the theoretical framework and methodological design of this research, to collect more data and to apply critical systems heuristics for the development of the conceptual framework.

Figure 5.5 outlines how action research has been applied through the four phases of this research.

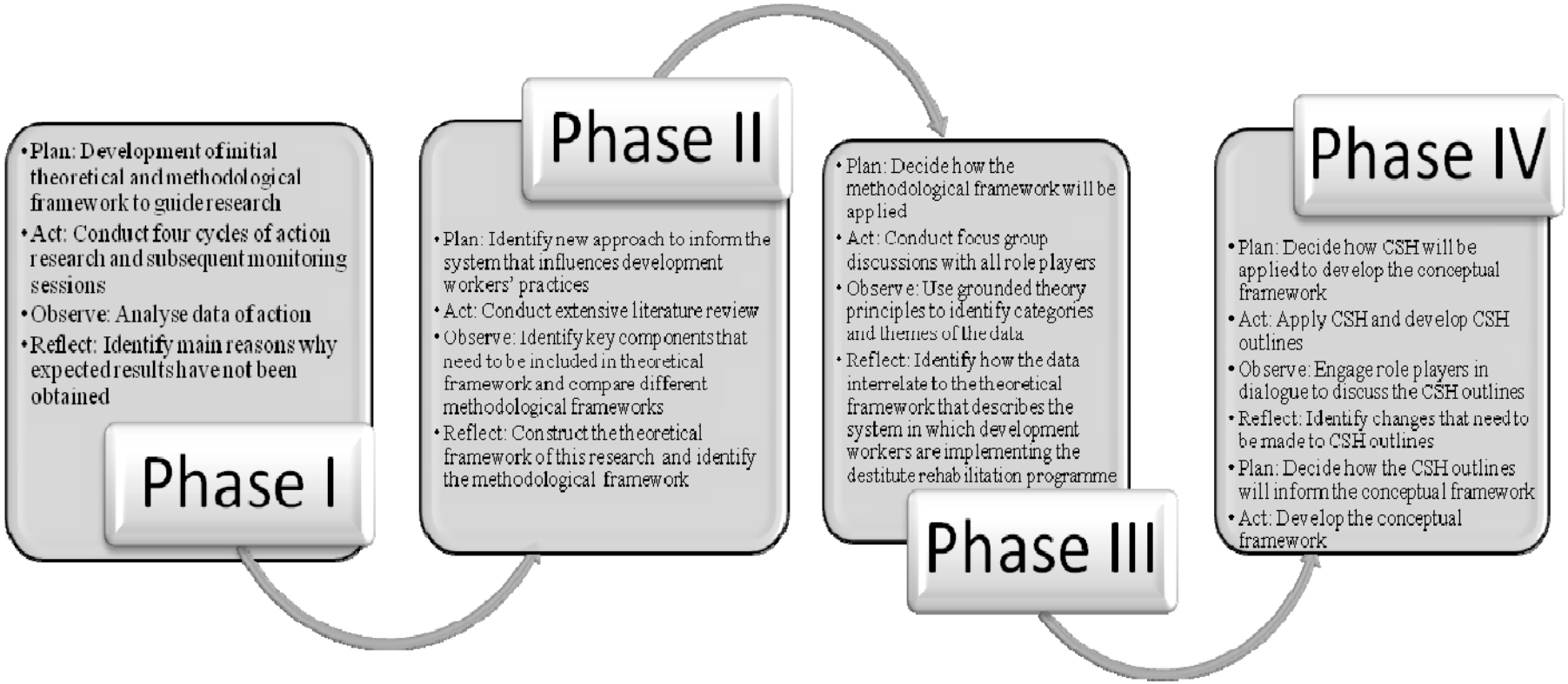



**Figure 5.5: The application of action research throughout the four phases of this research**

The following discussion gives a more detailed description of how action research was applied through the phases of this research.

**i) Phase I**

Phase I describes the process of the four cycles of action research conducted with the development workers.

*Action Research Cycle I*

The main aim of Action Research Cycle I was to gain an understanding of development workers' perspectives, experiences and practices in their work environment. The new knowledge gained was used to plan together towards subsequent action. The action taken was monitored and it informed the next action research cycle. Action Research Cycle I included observation, reflection, planning and implementation as summarised in Table 5.2. The observation, reflection and planning stages were conducted by means of a framework, which was based on the search conference approach as applied by Amudavi and Mango (2003).

A search conference is an action research approach in which people identify the direction to take, within uncertain environments, to endeavour to secure the most desirable future for their organisation or community (Cabana and Emery 1995; Heckman 1995; Amudavi and Mango 2003). A search conference lasts typically two and a half days and creates a valuable platform for dialogue (Emery and Purser 1996). The way the search conference framework was applied in this research is outlined in Figure 5.6.

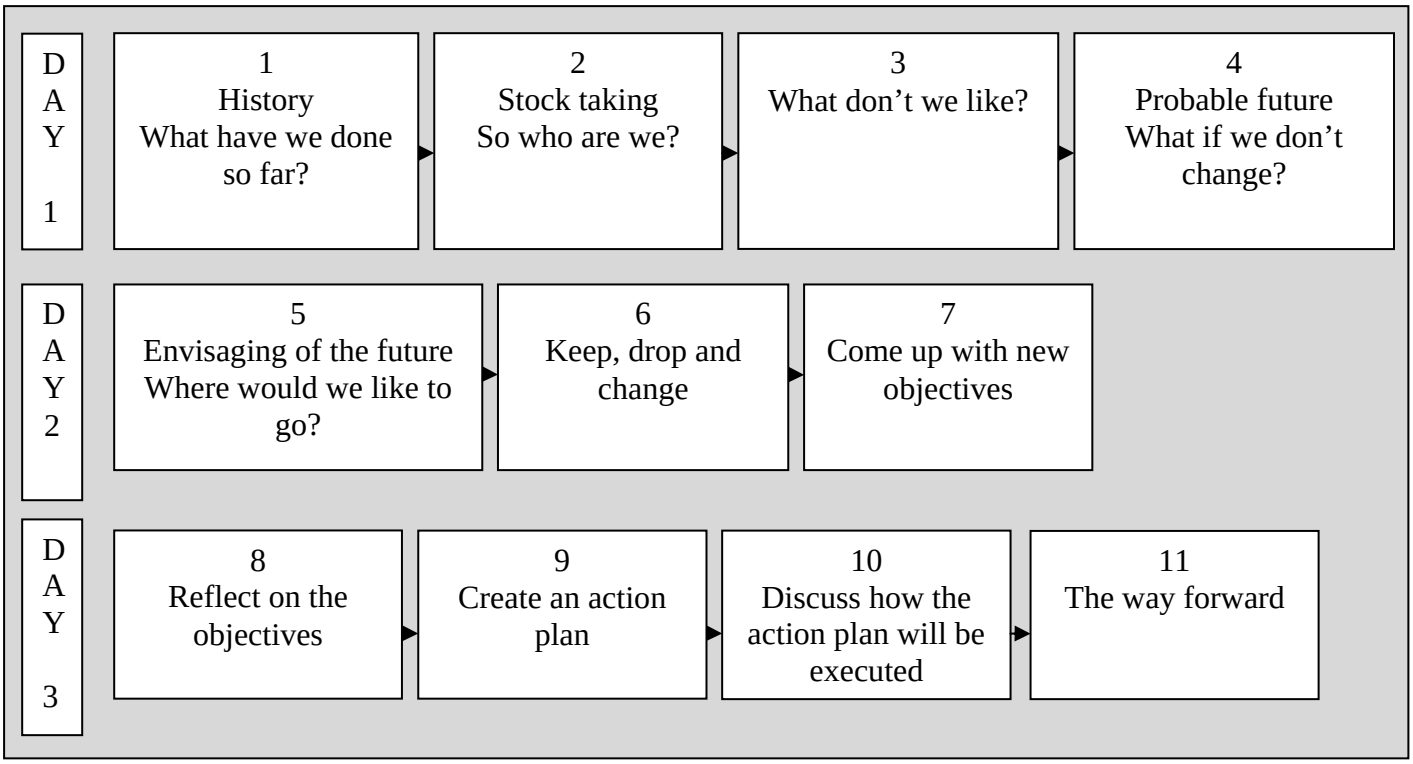



**Figure 5.6: The search conference framework as applied during this research**

The first day of the search conference (Workshop I) focussed on identifying the history and trends of the organisational environment (Steps 1 to 3, Figure 5.6). During the next activity, participants were asked to imagine what their futures would be if action, individually or collectively, was not taken to address the identified issues (Step 4, Figure 5.6). The first activity of the second day included a discussion of the desirable future outcomes where participants described how they would like to see their future practices (Step 5, Figure 5.6). The second activity of the second day enabled participants to decide which of their current practices are feasible, which are not feasible and which need to change, by taking the desired future into consideration (Step 6, Figure 5.6). This was followed by the development of new objectives related to general staff practices and destitute rehabilitation practices (Step 7, Figure 5.6). The third day comprised the development of strategies and actions to address the objectives identified (Steps 8 to 11, Figure 5.6).

Table 5.2 describes how the search conference framework was used to execute the first action research cycle (observation, reflection and planning) in Phase I. The table shows the implementation methods as well as the data generation and collection methods used at each stage of Action Research Cycle I.

**Table 5.2: Illustration of how action research was executed in the first action research cycle in Phase I**

| Action research stage | Method | Data generation and collection |
|---|---|---|
| **Observation** | Search conference (steps 1 to 3, Figure 5.6) | Transcribed notes (see Table 5.3) |
| **Reflection** | Search conference (steps 4 and 5, Figure 5.6) | Transcribed notes (see Table 5.3) |
| **Planning** | Search conference (steps 6 to 11, Figure 5.6) | Transcribed notes (see Table 5.3)<br>Action plan in form of action schedule |
| **Implementation** | Implementation of action plan according to checklist | Data obtained through focus group discussions during monitoring |

The implementation stage as described in Table 5.2 spanned a three-month period. The data collection methods during implementation included focus group discussions facilitated by the researcher.

*Action Research Cycle II*

This cycle comprised observation and reflection by all participants and the researcher of the implementation stage of Phase I. An observation exercise was carried out during the discussion of the development workers' experiences while they were implementing the action plans. The reflection exercise included the interpretation of the data from the observation exercise compared with how successful the implementation had been in reality. Adjustments were made to the initial implementation plan according to the outcome of the reflection stage. An opportunity was then given to the participants to implement the adjustments over a three month period.

*Action Research Cycle III*

This phase is a repeat of Action Research Cycle II. Observation, reflection, planning and implementation were executed as described in Action Research Cycle I.

*Action Research Cycle IV*

Although not part of the original plan, a fourth cycle was later added to enable the researcher to obtain much needed additional data. Action Research Cycle IV started with focus group discussions with the destitute as well as with the development workers. Participatory techniques were used as research tools during the focus group discussions as further discussed

in Tables 5.4 and 5.5. A one-day workshop was completed with the development workers following the focus group discussions. The researcher met with the five different destitute rehabilitation groups (development workers and the destitute) after the workshop to discuss the new action plans that were developed. This was followed by monitoring sessions which included:

- focus group discussions with the destitute and development workers (five months after Workshop IV); and
- a group discussion by the group leaders (development workers) of four of the destitute rehabilitation groups (catering, cleaning, waste paper collection and welding).

The data collected during this phase is discussed and interpreted in Chapter 6.

**ii) Phase II**

Phase II was informed by Phase I and formed part of a new action research cycle. During Phase I of the research, reflections and actions led the researcher to an understanding of her own undeclared implicit assumptions, which had limited her insight prior to the commencement of Phase I. During Phase II, the completed literature review revealed new insights on the capacity enhancement process, which informed the theoretical and methodological frameworks of this research. These frameworks affected the subsequent execution of Phase III and informed analysis and interpretation of data related to Phases I and III.

Chapter 2 and 3 discussed the literature review as related to Phase II, and the theoretical framework is outlined in Chapter 4 (Figure 4.6).

**iii) Phase III**

Phase III included focus group discussions and interviews with the different role players in destitute rehabilitation in Botswana. The role players who took part in Phase III were identified by development workers and the policy-makers. The wide variety of role players were included in order to understand the system within which destitute rehabilitation was implemented. These role players included policy-makers from the Department of Social Services, human resource officers from the Department of Local Government Service Management, council management from the Department of Social and Community Development and village and ward development committees who took part in the focus group discussions and semi-structured interviews. Focus group discussions were also conducted

with destitute and development workers from the three different councils (urban, semi-urban and rural). The purpose of the focus group discussions and interviews was to gain a deeper understanding of the relationships between the role players in the system.

The data collected during this phase is discussed and interpreted in Chapter 7.

**iv) Phase IV**

The fourth phase comprised the application of critical systems heuristics (CSH) to interpret data. This was done through the creation of CSH outlines that informed the conceptual framework. The purpose of the conceptual framework was to create circumstances in which dialogue could occur spontaneously between the key role players to inform adjustments and change in the challenging work environment.

A team comprising of development workers, council management and the destitute took part in a focus group discussion to challenge the content of the critical system heuristics outlines. A focus group discussion was also conducted with policy-makers for the same purpose and an interview was conducted with one human resource officer. The CSH outlines formed the basis of the focus group discussions and interview.

The development of the CSH outlines and the conceptual framework is described in Chapter 8.

## 5.5 Data collection methods

The data collection methods that will be discussed in this section include the interviews, workshops and focusgroup discussions. The data collection instruments employed in this research included interview guides, workshop frameworks and focus group discussions guides.

### *5.5.1 Interviews with destitute*

Semi-structured interviews were conducted with the destitute according to an interview guide to understand their views of their state of destitution (Sub-objective 3). The related sub-objective was accomplished by understanding the destitute in their immediate environment (individual, family and community), their experiences and attitudes related to destitution and towards rehabilitation.

The interview guide included the following relevant issues for discussion, which led to the development of subsequent questions asked to the destitute:

- focus on the individual in his/her environment:
    - tell us about yourself and your family;
    - what are your most important daily activities?
    - how do you think the community sees you considering that you depend on the government to provide for your needs?
- focus on the individual as a destitute person:
    - why are you registered for the destitute programme?
    - are you comfortable with being referred to as a destitute person?
    - what material and emotional support are you receiving from your local council?
    - are you satisfied with the support you are receiving?
    - who is to blame for your situation?
- focus on destitute rehabilitation:
    - do you see yourself as being dependent on government support for the rest of your life?
    - what could you do to generate your own income? Which skills do you possess to enable you to generate your own income?
    - would you like to learn new skills?
    - who is responsible for changing your current situation?
    - what are your future aspirations?

These questions served only as guidelines and were adjusted according to the answers the interviewees gave.

In order to conduct the interviews in the native language of the interviewees, the researcher made use of an interpreter to translate the questions into Setswana. Credibility of data obtained through the interviews was assured by determining beforehand specific Setswana words to be used to capture the meaning of the English words. These specific words were tested by asking the social workers, what their understanding of the Setswana terms was, to determine whether the appropriate words were selected. In addition, only one translator was used to increase credibility of the translated data.

### *5.5.2 Workshops*

Workshops with development workers were facilitated during each action research cycle in Phase I. The content of the workshops conducted in Phase I is described in detail as part of the

action research process (Subsection 5.4.2.1). This section focusses on how the workshops were conducted.

The aim of the workshops was to understand the development workers' perspectives, practices and experiences in relation to their operational behaviour environment and in relation to the process of implementing the destitute rehabilitation programme. Table 5.3 describes the content of the workshops in conjunction with the facilitation methods and tools used during each of the four workshops.

**Table 5.3: Framework of the different workshops including the content, tools and facilitation methods**

| Workshops | Content | Tools | Facilitation methods |
|---|---|---|---|
| Workshop I (three-day workshop) | The content formed part of a search conference framework: Steps 1 to 6 (Figure 5.6) | Ideas were written on note cards by each group and displayed on the wall so as to identify the similarities from each group. The groups then voted for the most imperative issues. | A PowerPoint presentation to outline the purpose of the workshops |
| | Steps 7 to 11 of the search conference framework (Figure 5.6) | Each group wrote objectives and action steps on a sheet of A2 paper. The results were circulated so that the other groups could comment. An action sheet was developed during the workshop. | Group discussions |
| Workshop II to IV (two-day workshop) | The action sheets from the previous workshop were discussed as well as the findings from the monitoring sessions (observation and reflection). Action sheets were adjusted accordingly (planning). | Each group adjusted their previous action steps on A2 sheets. The sheets were circulated so that the other groups could comment. Action sheets were adjusted during the workshop. | A PowerPoint presentation to present the findings of monitoring sessions<br>Group discussions |

### *5.5.3 Focus group discussions*

Focus group discussions were conducted separately with development workers, the destitute, the S& CD council managements, the village and ward development committees, policy-makers (Department of Social Services) and human resources officers (Department of Local Government Service Management). Focus group discussions were used as a data collection

method to get an understanding of the key role players' perspectives, practices and experiences through group interaction and to create an environment for dialogue. It was not planned to have less than five participants in a focus group discussion, but due to the unavailability of certain key role players, less than five participants did take part in certain cases. In such cases, it was still called focus group discussions since the same focus group discussion framework was used as planned.

#### *5.5.3.1 Focus group discussions with development workers*

Focus group discussions were conducted with development workers during Phase I (as part of monitoring during the implementation of the four action research cycles) and Phase III.

**i) Focus group discussion with development workers during Phase I**

The purpose of the focus group discussion was to encourage dialogue between development workers in order to share experiences related to their practices. Action sheets created during the workshops of each action research cycle were used as framework for discussions. Development workers were encouraged to share their experiences related to each component of the action sheet. After the first workshop, focus group discussions were conducted with five different groups. The groups selected for the first focus group discussions (Action Research Cycle I) were chosen according to their different areas or wards in the three different councils. The subsequent focus group discussion teams were chosen according to the rehabilitation groups they were involved in (catering, welding, horticulture, cleaning and waste paper collection).

The purpose of the focus group discussion before Workshop IV was not only to discuss the implementation of action plans but to get an overview of the development workers' experiences during the implementation of the three action research cycles.

The purpose of the focus group discussion was to generate information related to:

- the development worker's perspectives of themselves;
- the progress of the project;
- the organisation (S&CD council) dynamics; and
- the development workers' interaction with the destitute.

Table 5.4 shows the outline of the focus group discussions together with the different related concepts and participatory techniques used.

**Table 5.4: Outline of focus group discussions with development workers before Workshop IV**

| Outline | Related concepts | Technique used |
|---|---|---|
| Perspectives of themselves | How they see themselves as government workers. | Draw a mind map<br>Draw themselves |
| Progress of the project | Establish changes that took place since commencement of the project.<br>Accessibility of resources.<br>Strengths and how to build on these.<br>The way forward. | History line: identify strengths and evident changes.<br>Venn diagram<br>Indicate house foundation as strengths and building blocks as way forward. |
| Organisation dynamics | Contributions made by development workers in the organisation.<br>Challenges experienced and the way to convert these into strengths. | House: building blocks (strengths).<br>Write down around the house what the problems (gaps) as experienced by the development workers are.<br>Fill in rest of blocks showing how gaps can be filled. |
| Interaction with the destitute | The way development workers see the destitute.<br>Establish a relationship between the two groups.<br>Ways of changing differences into similarities. | Development workers to draw their views of how they see the destitute. |

### ii) Focus group discussion five months after Workshop IV with the development workers

As part of Phase I, development workers took part in a focusgroup discussion together with the destitute from the five different destitute rehabilitation groups. This took place five months after Workshop IV, for the purpose of monitoring their progress related to destitute rehabilitation.

The focus group discussion was guided by the following topics:

- the progress made in destitute rehabilitation;
- justification for progress made;
- suggestions to change current practices and experiences; and
- what development workers and the destitute consider as the ideal situation related to destitute rehabilitation.

### iii) Group discussion between the group leaders of the different destitute rehabilitation projects

The group discussion was conducted with four development workers who acted as the project leaders of the different destitute rehabilitation projects, using the following questions and points for discussion which were posed to the group:

- what have you learnt since starting this programme?
- what are the strong points of this programme that make it successful?
- discuss the progress that has been made as a group so far. Share your successes with your groups;
- discuss the action you would like to take as a group to ensure more progress;
- how are you going to be accountable? and
- share what you have learnt during this meeting.

### iv) Focus group discussion with development workers during Phase III

Development workers took part in focus group discussions during Phase III to confirm the data of Phase I and also to establish whether any changes had taken place. Questions were also based on the critical systems heuristics framework as outlined in Subsection 5.6.2. The outline of the focus group discussion with development workers included the following questions:

- what progress have you made regarding destitute rehabilitation?
- who are the experts of the rehabilitation process?
- when will you know you are experts?
- which factors influence the success of destitute rehabilitation programmes?
- what is the purpose of the destitute rehabilitation guidelines?
- who are the decision makers?
- what do you think about methods of decision-making that are currently used by the policy-makers and council management?
- what adjustments can be made to your practices for destitute rehabilitation? and
- who are the stakeholders that need to be involved?

These questions only provided an outline for the focus group discussions and were adjusted according to answers of the development workers.

**v) Focus group discussion with development workers during Phase IV**

The focus group discussion of Phase IV was mainly concerned with giving opportunity to development workers to challenge the content of the critical system heuristics outlines that informed the conceptual framework. Development workers and the destitute were in the same focus group discussion in order to expose the different perspectives of the two different groups.

#### *5.5.3.2 Focus group discussion with the destitute*

Focus group discussions were performed with the destitute in Phase I, before Workshop IV, five months after Workshop IV and during Phases III and IV.

**i) Focus group discussion before Workshop IV with the destitute**

The purpose of the focus group discussion conducted after Workshop III was to understand the destitute's experiences after the completion of three action research cycles. The aim of the focus group discussion was to generate information related to:

- the destitute's perspectives of themselves;
- the progress of the project;
- group dynamics; and
- the destitute's interaction with extension workers.

Table 5.5 shows the outline of the focus group discussions together with the different related concepts and participatory techniques used.

**Table 5.5: Outline of focus group discussions with the destitute after Workshop IV**

| Aim | Related concepts | Technique used |
|---|---|---|
| Perspectives of themselves | Self-concept of the destitute.<br>Own concept of themselves as destitute persons.<br>The destitute's control of assets. | Drawing themselves.<br>Group discussion to establish the way they see themselves as destitute.<br>House built with stones – indicates assets with which "house" is built. |
| Progress of the project | Establish changes that took place since the project started.<br>Accessibility of resources.<br>Strengths and how to build on them.<br>The way forward. | Draw a history line.<br>Draw a Venn diagram to indicate the available resources.<br>Indicate the strengths of the destitute rehabilitation programme by writing it down on the house foundation and |

| | | |
|---|---|---|
| | | writing down the way forward in the building blocks. |
| Group dynamics | Contributions of the destitute in the group.<br>Strengths of working in a group.<br>Challenges experienced in a group and the way to convert these challenges into strengths. | Metaphorical analysis (as a group, compare your strengths with body limbs) and group discussion. |
| Interaction with extension workers | Establish a relationship between the two groups.<br>Ways of changing differences into similarities. | Group discussion to establish the relationship and ways of changing differences. |

**ii) Focus group discussion five months after Workshop IV with the development workers**

As discussed in Subsection 5.5.3.1(ii) focus group discussions were conducted with development workers and the destitute five months after workshop IV to monitor the progress related to destitute rehabilitation.

**iii) Focus group discussion as part of Phase III with the destitute**

The purpose of the focus group discussions with the destitute was to gain a deeper insight (where there was a need for more information) into their experiences (Subsection 5.3.1.3). Destitute who were not involved in destitute rehabilitation were also included in these focus group discussions to get insight into their expectations of destitute rehabilitation to clarify and expand on the data that was already known to the researcher through the application of Phase I. The focus group discussion revolved around social dimensions of poverty such as the destitute's participation in public activities, their experiences of marginalisation and stigmatisation, their views of the rehabilitation projects and their role in contributing to a "better" Botswana.

**iv) Focus group discussion as part of Phase IV with the destitute**

The aim of the focus group discussion in Phase IV was to encourage the destitute to reflect upon issues in the critical system heuristic outlines that are related to them (the destitute). The focus group discussion was done in conjunction with the development workers and council management members to encourage dialogue between them.

#### *5.5.3.3 Focus group discussion and semi-structured interviews with the S&CD council management team*

During Phase III, two focus group discussions were conducted with the council management team in the urban district council. An outline of the discussion points for the first focus group with the S&CD council management team included:

- Their (S&CD council management) views on the experiences of the destitute and development workshops of destitute rehabilitation;
- their definition of destitute rehabilitation;
- accessible assets that contribute to effective and efficient practices; and
- shortcomings that impede destitute rehabilitation practices.

The following questions formed the structure of the second focus group discussion during Phase III:

- why are you finding the destitute rehabilitation programme difficult to implement?
- what skills are needed to implement the destitute rehabilitation programme successfully?
- who are the experts and decision-makers of the destitute rehabilitation projects? and
- what challenges are you facing?

This same structure was used for the interview with the principal social welfare officers of the two district councils. One member of the management team in the rural district council also took part in the interview.

#### *5.5.3.4 Focus group discussion with village and ward development committee (VDC and WDC)*

The outline for the focus group discussion with the VDCs and WDCs during Phase III included:

- their role within destitute rehabilitation;
- the role VDCs/WDCs play in implementing the destitute rehabilitation programme;
- the factors that inhibit appropriate destitute rehabilitation practices; and
- the adjustments VDCs/WDCs could make in their practices to strengthen the destitute rehabilitation programme.

#### *5.5.3.5 Focus group discussion with the policy-makers (Department of Social Services)*

The outline for the focus group discussion with the policy-makers during Phase III included:

- their views on the experiences of the destitute and development workshops during Phase I;
- their definition of destitute rehabilitation;
- accessible assets that contribute to effective and efficient destitute rehabilitation practices; and
- shortcomings in terms of attitudes, procedures and systems that impede destitute rehabilitation practices.

#### *5.5.3.6 Focus group discussion with human resources officers (Department of Local Government Service Management)*

The focus group conducted with the training director and two senior officers from the Department of Local Government Service Management (DLGSM) during Phase III included the following items for discussion:

- the effect of DLGSM decisions and operations on the practices of development workers;
- DLGSM officers' openness to change in terms of their system of operation;
- DLGSM officers' approach to decision-making; and
- challenges that DLGSM officers face in the recruitment and training of development workers.

## 5.6 Application of grounded theory coding principles and critical systems heuristics as the approach to data analysis

This research was implemented through four phases, based on the action research approach. Rich data were obtained through the interviews and four action research cycles (Phase I), mainly through focus group discussions in Phases III and IV. Data related to Phases I and III were interpreted by applying specific coding principles of grounded theory as the first part of data analysis. Critical systems heuristics (CSH), a systems approach, was incorporated to make further meaning of the data.

### 5.6.1 Application of specific grounded theory coding principles

Literature suggests many ways to analyse qualitative data for example: discourse analysis, narrative analysis and content analysis. Due to the nature and complexity of the interactions between the various role players in the system, in which development workers implement the destitute rehabilitation programme, a more context specific method was required in order to interpret the results of this research in the most meaningful way. The method of data analysis used in this research, was developed during the course of data collection and analysis. This data analysis relates to the three types of coding proposed in grounded theory. The three types of coding as used by grounded theory include: open coding, axial coding and selective coding. Open coding is the initial step of theoretical analysis to identify categories according to similar properties that emerged. Properties are the conceptual characteristics of a category (Glaser 1992; Blaikie 2000; Charmaz 2006). Axial coding is done through the identification of relationships between different categories and their sub-categories; data is thus put together in a new way (Charmaz 2006). Selective coding is a process of detailed development of categories, the selection of a core category and the construction of a descriptive narrative (Strauss and Corbin 1990).

Table 5.6 describes the eight steps that were followed for the analysis of data collected in Phase I and it shows the relationship between the eight steps and the three types of coding as used in grounded theory.

**Table 5.6: Eight steps of data analysis used in this research in relation to grounded theory**

| Coding categories in grounded theory | Eight steps of data analysis of Phase I data |
|---|---|
| **Open coding** | 1. The theoretical framework was developed, as part of Phase II, which specified keywords that would need to be considered when looking at the data.<br>2. The data collected during Action Research Cycle I with the three councils and during Action Research Cycles II to IV with the urban council were written as a narrative for each of the councils. Each narrative described, in detail, what had happened in the workshops and monitoring sessions during the action research cycles. The purpose for writing the narratives was to synthesise the data for further analysis of the perspectives, practices and experiences of the development workers.<br>3. The next process was to identify the emerging and recurring categories throughout the synthesised data. The categories were based more specifically on the development workers' rehabilitation practices and aspects that influenced their practices.<br>4. The data were then studied to make sure that these categories (issues) |

| Coding categories in grounded theory | Eight steps of data analysis of Phase I data |
|---|---|
| | emerged in all the transcribed data generated throughout the focus group discussions, monitoring sessions and workshops as well as data collected in Phase III. |
| **Axial coding** | 5. These categories (issues) were then compared with the literature and divided into four themes. |
| **Selective coding** | 6. The four themes were used as the framework for data analysis. Using the entire pool of data collected throughout Phase I, Action Research Cycles I to IV (see step 2 above), and looking for categories (issues) relating to the four themes, a new narrative was built under each of these four themes.<br>7. The data collected during the interviews and focus group discussions with the destitute during Phase I was then included. Only data that could be linked to the issues that emerged within the new narratives (under the four themes) were used.<br>8. During the interviews, where the same questions were asked to all those who had been interviewed (the destitute), the number of similar answers were added together. This numerical value was then displayed alongside the various answers in order to give weight to each similar answer and hence a truer representation of the destitute's views. |

Data generated in Phase III included focus group discussions with policy-makers (DSS), human resource officers (DLGSM), S&CD council management, village and ward development committees, development workers and the destitute. The majority of the data collected from these focus group discussions were placed in a table format which used the categories within the themes (established in the first part of data analysis, Table 5.6) as the framework. For any remaining data that did not fit into any of the existing categories, a new category was created to accommodate it.

The data in the table were then compared to previous data that had emerged in Phase I in order to establish which data were common to Phase I and which data were unique to Phase III. This was done in order to make a distinction between new data and confirmed data. For each different category, the new and confirmed data were synthesised and used to add to the existing narratives.

Validity was ensured during data analysis by:

- using only a view or opinion once it was confirmed by others and when it represented the feelings of others in the group and not those of the individual;

- ensuring that after the themes and the categories were built within the narratives, the researcher went back to the pool of transcribed data in order to cross-check it against the narrative so that nothing was omitted; and
- putting all data relating to the categories into tables, specifically data relating to the destitute and data related to Phase III. This was done to ensure that nothing was left out and that the opinions used were representative of the group and not of the individual.

The above were applied according to recommendations by Leedy and Ormrod (2001).

The analysed data of Phases I and III data were brought together through the use of critical systems heuristics (CSH) to gain deeper understanding of the data through the use of specific boundary judgments (Subsection 5.6.2).

### *5.6.2 Critical systems heuristics*

Luckett (2006) experienced that CSH is effective to use to evaluate rich data received from different role players to show their differing worldviews and boundary judgements. CSH is used in this research because it encourages the discovery of relevant problems, assumptions and solution strategies (as implied by the concept *heuristics*), as well as flexibility and creativity to accommodate the specific context to which it is applied (Ulrich 2005; Luckett 2006).

Discovery, through boundary judgements, is carried out in a pre-determined context (Ulrich 2005). Boundary judgements are done by asking specific questions related to four categories. These categories comprise understanding of the following aspects of a policy, programme or plan:

- the basis of motivation, which relates to the client of the policy, programme or plan;
- the power and source of control, which relate to the decision-maker of the policy, programme or plan;
- the source of knowledge, which relates to the expert of the policy, programme or plan; and
- the source of legitimation, which relates to those affected by the policy, programme or plan.

These boundary judgements are carried out according to the values and facts that are considered to be important, which also define the system in which the policy, programme or plan is implemented (Ulrich 2005; Luckett 2006). Values and facts reflect claims that are made to justify and give meaning to the process of opinion formation, problem-solving, decision-making or conflict resolution. Claims include the defining of a problem, the description of the problem situation, the decision-making process and the action taken.

Each of the four boundary judgements include three questions that the researcher should ask of each of the categories (Table 5.7). The questions specify the role, the role concerns and the problems related to the role. The role concerns include the major concern that is related to the specific role player (stakeholder), and the role problems refer to the main difficulty that may evolve with the concerns in question (Ulrich 2005).

Reynolds (1998) also suggests the carrying out of three unfolding process in addition to the boundary judgements. The first unfolding process (development of a systems idea) involves the critique of social roles versus the role concerns followed by the identity of the key problem areas or the root of a situation (Table 5.7). This enables understanding role players from different perspectives. The second unfolding process (systems critique) aims to formulate an evaluation from juxtaposing the actual versus the ideal situation (Ulrich, 2005) (Table 5.7). The third unfolding process (social critique) aims to formulate an evaluation by encouraging those involved in the system and those affected by the system to engage in dialogue (Table 5.7). During this dialogue process those affected get an opportunity to respond to the system plans and actions.

The first two unfolding processes were carried out in this research to develop the critical systems heuristic outlines. Specific questions were asked related to the judgement questions (first unfolding process) and the actual and the ideal process (second unfolding process). The third unfolding process was not implemented as it was not one of the sub-objectives of the research. An attempt was made however to bring the involved and the affected together in a workshop to encourage dialogue between the two groups. This attempt was supported by the Department of Social Services, but it could not be arranged.

**Table 5.7: Summary of critical systems heuristics to outline the boundary judgement categories, questions and the unfolding processes (Ulrich 2005)**

| Boundary judgement categories | Boundary judgement questions for each category | "Is" versus the "ought" unfolding process | | Involved versus the affected unfolding process |
|---|---|---|---|---|
| Linked to the policy basis of motivation | Who is the client that is supposed to benefit by the policy?<br>versus<br>What is the purpose of the policy and its consequences? (role-specific concern)<br>What is the measure of improvement of the policy/who is in the position to change the measures? (problem) | Is | Ought | Involved |
| Linked to the policy's basis of power and source of control | Who are the decision-makers?<br>versus<br>Which components are influenced by decision-making?<br>What belongs to the environment of the policy/plan and which conditions does the decision maker not control? | | | |
| Linked to the policy's basis and source of knowledge | Who are the experts/ decision-makers?<br>versus<br>What is the expertise that the policy/plan requires?<br>What guarantee is there that the policy will be implemented successfully? | | | |
| Linked to the policy's source of legitimation | Who are the witnesses<br>versus<br>To what extent are those affected given the chance of emancipation from the promises of those involved?<br>What is the possibility of conflict in the worldviews between those affected and those involved? | | | Affected |

### *5.6.2.1 CSH as applied in this research*

The four boundary categories, related to the basis of motivation, power, knowledge and legitimacy as well as the unfolding processes have been adapted for this research. Ulrich (2000) states that facts cannot be made or taken as truth before it has been considered what belongs and what does not belong to the context. Boundary categories are logically and temporally related to a specific issue, not only in terms of space and time but also in terms of

human intentions. Justifications for the three categories and twelve questions, as applied in this research, are as follows (Table 5.8):

**i) Beneficiaries**

The role of the beneficiaries is specified, according to Ulrich (2005), by asking: who are the clients/beneficiaries? In this research, this role is defined by ascertaining who the beneficiaries of the destitute rehabilitation programme are.

The role concern is specified by Ulrich (2005) as the purpose of the policy and its consequences. This research is concerned with what the destitute rehabilitation programme is expected to achieve according to the different role players.

The question asked by Ulrich (2005) related to the role problem is: what is the measure of improvement/who is in the position to change this measure? The question that is asked in this research is: what are the indicators of improvement? This question was asked to establish whether the way policy-makers view indicators of improvement is related to the development workers and the destitute's expectations of what the policy intends to achieve.

The beneficiaries, as based on the findings of this research, are described in Subsection 7.3.1.

**ii) Owners**

The term *owners* is used in this research based on the definition of Checkland (1999). Checkland (1999) uses the term *owners* to describe a role player who has the decision-making power to stop the proposed transformation process.

The questions that were asked in connection with the role concern and role problem are related to Ulrich's (2005) questions (Table 5.8). These two questions established the components that are controlled by the owners as well as those components which can be or do not need to be controlled by the owners.

The owners, as based on the findings of this research, are described in Subsection 7.3.2.

**iii) Experts**

In this research, *experts* are seen as those who have the skills to implement the destitute rehabilitation programme and to make the decisions on how to implement it. Ulrich's (2005) questions were used to establish the role concerns and the role problems. The question related to role concern is: what is the expertise that the destitute rehabilitation programme relies on for implementation? The question related to role problem that is asked in this research is: how

implementable are the destitute rehabilitation guidelines? This question referred to the various obstacles which prevented the experts from implementing the destitute rehabilitation guidelines successfully.

The experts, as based on the findings of this research, are described in Subsection 7.3.3.

**iv) Affected**

Ulrich (2005) uses the term *witness* to refer to those who represent the affected, who may form part of a larger population. The destitute who took part in this research were not selected in order to be a "voice" for other destitute. They were selected solely because they were affected by the destitute rehabilitation programme. When the destitute shared their views they expressed their own experiences and not those of a larger group of those affected. It is recognised that the destitute's experiences may however represent the experiences of the larger destitute population.

In terms of the role concern, this research asked: what do they (the affected) require to change? The question used in this research is similar to the question used by Luckett (2006): to which extent are those affected given the opportunity of empowerment from the promises of those involved. The question related to the role problem is similar to Ulrich's (2005) question, which established the difference in perspectives between the affected and the involved.

The affected, as based on the findings of this research, are described in Subsection 7.3.4.

**Table 5.8: Four boundary categories and twelve questions as applied in this research**

| Boundary category | Role vs. | Role concern | Problems |
|---|---|---|---|
| Beneficiaries (Basis of motivation) | Who are the beneficiaries? | What should the destitute rehabilitation programme achieve? | What are the indicators of improvement? |
| Owners (Basis of power) | Who are the owners of the destitute rehabilitation programme? | Which components of destitute rehabilitation guidelines are controlled by the owners? | What belongs to the environment of the destitute rehabilitation programme but is not controlled by the owners? |
| Experts/decision-makers (Basis of knowledge) | Who are the relevant experts? | What is the expertise that the destitute rehabilitation programme relies on for implementation? | How implementable are the destitute rehabilitation guidelines? |
| Affected (Basis of legitimacy) | Who are the affected? | To which extent are those affected given the chance of empowerment from the promises of those involved? | What is the difference in perspectives between the affected and the involved? |

The data as generated in Phases I and III and interpreted by using the coding principles of grounded theory were further interpreted through the boundary questions and the development of critical systems heuristics outlines. The development of the conceptual framework was based on the understanding that emerged through the application of CSH.

LeCompte (2000:152) describes the importance of validity when analysing data for creating a conceptual model (framework), as follows:

> *Validity is critical to the goodness of analysed data, because no matter how elegant a researcher's own model building is; the results lack credibility or validity if the cultural whole presented by the researcher makes no sense to the persons or groups whose cultural whole is in fact being portrayed.*

It is therefore essential to analyse data correctly and to follow it up with external input from key people in the research to achieve a logical and rational structural analysis. The approval of the analysed data by key people (research participants) is important because they can assess the displayed data in terms of validity (Creswell and Clark 2007). This will increase the

likelihood of key people implementing the results into their practices and programmes (LeCompte 2000). This was achieved in this research by allowing the key role players to reflect on the CSH outlines and to suggest changes as part of Phase IV in order to develop the conceptual framework.

## 5.7 Summary

This chapter described the methodological framework of the research. The research methodology in this research is action research, where the methodology drew from coding principles of grounded theory and systems theory to interpret the data. Phase I was conducted through four cycles of action research and involved development workers and the destitute only. The third and fourth phases included other key role players in focus group discussions. The purpose of Phase II was to develop the theoretical and methodological frameworks as a result of the findings of Phase I data and to inform Phases III and IV in terms of the theoretical framework and the methodology applied.

The next chapter focusses on the interpretation of data related to Phase I according to the coding principles of grounded theory.

*Chapter 6*

# ANALYSIS OF RESULTS PART I: FIRST PHASE

## 6.1 Introduction

The previous chapter outlined the action research methodological framework of this research. The coding principles related to grounded theory and critical systems heuristics (CSH), informed the analysis and interpretation of the data. The interpretation was done in the context of the main objective of this research, which was to develop a conceptual framework for capacity enhancement of development workers in Botswana through in-depth understanding of the perspectives, practices and experiences of the key role players involved in destitute rehabilitation.

In order to address this objective, six sub-objectives were set (Subsection 1.5). Interpretation of data relating to Sub-objectives 1 to 3 formed the basis of the analysis of the data. These sub-objectives were to:

1. understand the destitute rehabilitation programme in terms of its implementing processes;
2. understand development workers' perspectives, practices and experiences related to their applicable internal and external behavioural environments, the interaction between the environments and the way this influences the development workers' development efforts; and
3. understand the perspectives, practices and experiences of the destitute regarding their state of destitution and the destitute rehabilitation process.

The demographic data of the participants are described in Appendix 12. The methods of data generation in Phase I are described in Subsections 5.4.2.1 and 5.5 and Appendix 13. The process followed to analyse the data related to Phase I is outlined in Table 5.6.

Statements made by development workers and the destitute during interviews and focus group discussions are used in the subsequent subsections, to illustrate a specific point in the discussion of Phase I data. To indicate during which interview and focus group discussion the statements were made, the following tags were used in this chapter:

- urban/semi-urban or rural district, interview with the destitute: see Subsection 5.3.1.1 and Appendix 1a–c;
- urban/semi-urban or rural district, Workshop I: see Subsection 5.3.2.1 and Appendix 2a–c;
- urban district/semi-urban district/rural district, Monitoring session I: see Subsection 5.3.2.1 and Appendix 3a–c;
- urban district, Workshop II/III/IV: see Subsection 5.3.2.2 and Appendix 4a, 6a and 7b;
- urban district, catering/cleaning/horticulture/waste paper collection/welding group or destitute rehabilitation coordinator, Monitoring session II/III/IV: see Subsection 5.3.2.2 and Appendix 5a–f , 6c and d and 7d;
- urban district, destitute catering/cleaning/horticulture/waste paper collection or welding group, focus group discussion before Workshop IV: see Subsection 5.3.1.2 and Appendix 7a;
- urban district, catering/cleaning/horticulture/waste paper collection/welding group or destitute rehabilitation coordinator, focus group discussion before Workshop IV: see Subsection 5.3.2.2 and Appendix 7a; and
- urban district, group leader from cleaning/welding/catering group, group discussion after Workshop IV: see Subsection 5.3.2.3 and Appendix 7e.

The above tags refer to the development workers, except for two cases where tags refer to the destitute. In these two cases the word *destitute* are mentioned in the tag.

## 6.2 Development of categories and themes to guide discussion

The analysis of data related to Phase III included the development of categories and themes as based on the coding principles of grounded theory (Subsection 5.6.1).

The issues relating to development workers' destitute rehabilitation practices and aspects that influence their practices, that emerged in the first action research cycle (during Workshop I, see Appendix 2a–c) were grouped into seven categories as listed below:

- the operational behaviour environment is not suitable to implement destitute rehabilitation;
- there is an interference by politicians in the rehabilitation process;
- development workers believe that the destitute are too dependent on handouts and they do not want to be rehabilitated;
- destitute rehabilitation guidelines are not clear;
- counselling (home visits and follow-ups) are inadequate;
- there is a lack of appropriate record-keeping practices; and
- inappropriate rehabilitation strategies and approaches are applied.

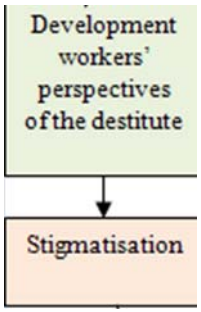
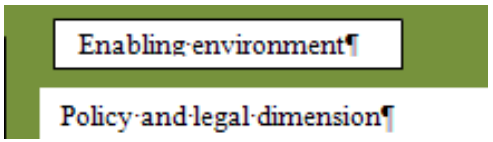
Identification of these seven categories was based on development workers' rehabilitation practices and aspects that influence their practices. This was followed by making sure that these categories (issues) emerged in all the transcribed data generated throughout the focus group discussions and workshops in Phase I as well as data collected in Phase III. All the data were then grouped into one of the seven categories, which resulted in the development of four themes (Table 6.1). The seven categories were also compared with the theoretical framework (Figure 4.6) to establish the four themes. The four themes served as the building blocks for understanding the destitute rehabilitation practices used by development workers.

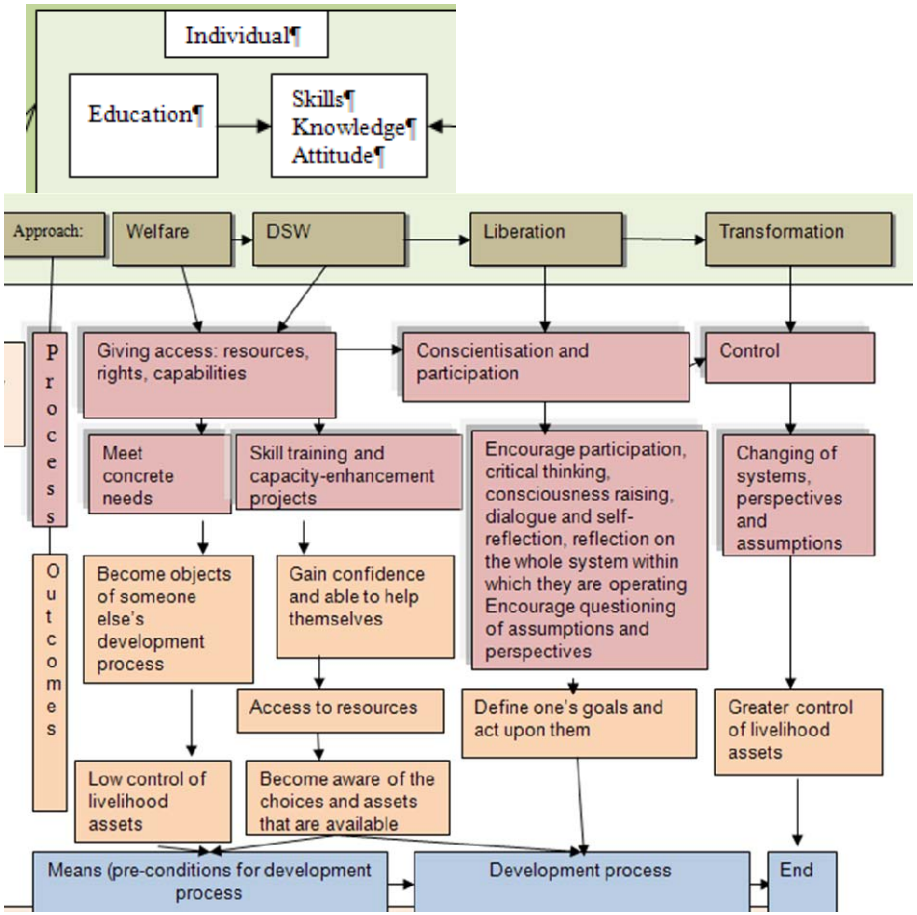
The four themes that were identified, based on the seven categories were:

- the operational behaviour environment;
- development workers' perspectives of the destitute compared to the destitute's perspectives of themselves;
- destitute rehabilitation programme guidelines; and
- destitute rehabilitation practices, including skills and knowledge, training (education), community development approaches applied by development workers and development workers' attitudes.

Table 6.1 (right column) takes extracts from Figure 4.6 (theoretical framework) to show how the seven categories and the four themes connect to the theoretical framework.

**Table 6.1: The development of themes as the basis of the analysis of data related to Phase I**

| Categories | Themes | Relation to theoretical framework (Figure 4.6) |
|---|---|---|
| Interference by politicians (councillors) in the rehabilitation process.<br>Operational behaviour environment is not suitable to implement destitute rehabilitation. | Operational behaviour environment (Subsection 6.3). |  |
| Destitute are too dependent on handouts and do not want to be rehabilitated. | Development workers' perspectives of the destitute compared to the destitute's perspectives of themselves (Subsection 6.4). |  |
| Destitute rehabilitation guidelines as developed by the Department of Social Services are not clear. | Destitute rehabilitation programme guidelines (Subsection 6.5). |  |

| Categories | Themes | Relation to theoretical framework (Figure 4.6) |
|---|---|---|
| Counselling (home visits and follow-ups) are inadequate<br>Appropriateness of record keeping practices<br>Appropriateness of rehabilitation strategies and approaches are applied | Destitute rehabilitation practices, including skills and knowledge, training (education), community development approaches applied by development workers and development workers' attitudes (Subsection 6.6). |  |

## 6.3 The operational behaviour environment

The term *operational behaviour environment* refers to the behavioural aspects of the environment within which development workers are operating. The classification of the operational behaviour environment as either internal or external is related to the development workers' control and their perception of influence that they have over their environment.

Control in the operational behaviour environment is related to the tasks and responsibilities of the different role players as determined by their job title and description, since it gives them the ability to make certain decisions. Where development workers place their sphere of influence (internal or external) shows where they see themselves in relation to their work environment in terms of how they can influence the behavioural aspects over which they do not have control (Spreitzer 1996). Employees with an external sphere of influence consider themselves to be victims of their external environment, which they cannot influence. An internal sphere of influence refers to employees who see themselves as able and responsible to influence their operational behaviour environment in order to achieve their goals. In this case, employees can have influence over aspects in the operational behaviour environment which they do not control. This can ultimately result in an increase of employees' control in terms of breaking the limitations of operating according to job descriptions only.

Consideration of the factors that influence the operational behaviour environment leads to an understanding of why development workers described the process of destitute rehabilitation as strenuous. These feelings are conveyed by statements recorded during a group discussion between four of the group leaders of the destitute rehabilitation groups.

> "The programme is demanding, time-consuming, tiring and not easy to handle or to deal with. It is demanding in terms of a lack of transport." (Urban district, group leader from cleaning group, group discussion after Workshop IV)
>
> "It (destitute rehabilitation) takes a long time because there is a lack of funds." (Urban district, group leader from catering group, group discussion after Workshop IV)
>
> "I agree with her. I have learnt that it takes a long time to start the programme, since there is a lack of funds so we take a long time dealing with the logistics. People are not motivated because it is a process." (Urban district, group leader from welding group discussion after Workshop IV)

These statements suggest that development workers feel powerless as a result of the operational behaviour environment within which destitute rehabilitation is carried out.

Specific aspects that emerged from development workers in this research as factors in the operational behaviour environment that influence destitute rehabilitation include:

- human and financial resources as well as infrastructure (Subsection 6.3.1);
- operational functioning structure (Subsection 6.3.2);
- teamwork (Subsection 6.3.3);
- effective supervision of development workers by their superiors (Subsection 6.3.4);
- political interference (Subsection 6.3.5);
- ability to network with stakeholders (Subsection 6.3.6); and
- time management by development workers (Subsection 6.3.7).

### *6.3.1 Availability of resources*

The lack of resources, especially human resources, transport, computers and stationery and access to funds for rehabilitation were identified by development workers as inhibitors to the success of the rehabilitation process.

#### *6.3.1.1 Human resources*

The lack of human resources was considered to be the cause of the work overload and an obstacle to achieving quality work as reflected by the following statement:

> "It's not that work is not quality but the workload is so unbearable. Here in Molopolole there is a shortage of staff." (Rural district, Monitoring session I)

Another consequence of lack of human resources was that destitute rehabilitation was not viewed by development workers as a priority, since they had other important matters to attend to. Deeper inquiry was not made to identify whether these perceived important matters deserved higher priority than destitute rehabilitation.

Another human resource issue raised during Workshop I (Kgatleng district) was that of unfair transfers of development workers to other councils. During the focus group discussion before Workshop IV, it was discovered that development workers feared the consequences of being transferred to other city, town or district councils:

> "If an officer is transferred to a different place, the project might be slowed down." (Welding group, focus group discussion before Workshop IV)

> "I have fear of being transferred to an area very far from my family and I am becoming paranoid." (Horticulture group, focus group discussion before Workshop IV)

The first statement above shows that the transfer of officers was a constraint for development workers as it was considered to have a potentially negative impact on their work as well as on the success of destitute rehabilitation itself. This is mainly due to the fact that transfers of development workers hinder the continuity of projects. The second statement shows that the fear for transfers is related to the effect transfers have on development workers personally and on their families. In both these cases, transfers are a factor that causes powerlessness on the part of the development workers rather than having a positive effect on their work and contributing to the dynamics of the workplace. The ideal would have been for transfers of development workers to be used to strengthen the team involved in destitute rehabilitation rather than viewing transfers as being detrimental.

The issue of lack of human resources was perceived by development workers as external to their sphere of influence and control. The development workers used the lack of human resources as an excuse for not considering destitute rehabilitation as a priority instead of finding ways to influence the situation.

#### *6.3.1.2 Transport*

There was a shortage of transport during the implementation of the destitute rehabilitation programme which was beyond the development workers' control, as reflected by the following statements:

> "It seems that there is nothing we can do to change the situation (lack of transport). Yesterday I needed to go out but there was no transport. There is nothing we can do, it is a government issue." (Urban district, Monitoring session I)

> "We did not meet our group members. There was no transport to collect them." (Urban district, Monitoring session I)

Development workers were encouraged by the researcher to question their own behaviour related to the problems experienced. However, development workers were bound to the expectancy that the local councils should change the situation.

The action plan that was developed during Workshop I proposed the use of a distribution list which would enable the various council departments and other stakeholders to connect with one another in order to share transport and other resources. The development of a networking system with stakeholders, which would allow the sharing of resources, was also suggested by the development workers from the urban council during Workshop IV, as indicated by the following statement:

> "We can see how we can use the limited resources to help the (destitute rehabilitation) groups. We are able to work with other agencies and departments to help us in this programme. We are motivated to see the programme work." (Group discussion after Workshop IV)

Even though this plan was not implemented, it shows the possibility of how the transport problem could be eased. The development workers were able to formulate insight into the problem of limited resources, but these insights did not lead them to implement the solutions. It is thus clear that only single-loop learning was achieved through this process. Single-loop learning encourages quick fixes rather than structural changes, as is the case in double-loop learning (Rushmer and Kelly 2004) (Subsection 3.3.2.1[i]). Since only single-loop learning took place, development workers did not understand the problem related to a lack of transport deeply enough and they did not consider it a system issue of which they are part of and which they could influence.

#### *6.3.1.3 Computers and stationery*

Development workers described computers and stationery as not enough, which contributed to ineffective daily practices. The aim of the development workers from the urban district was to control the stationery problem by creating a distribution list. However, it became evident during Phase I that the problem was not due to a lack of control of the stationery but rather due to a shortage of stationery as reflected by the following excerpt from a conversation between the researcher and development workers from the urban district:

> "We did make an inventory." (Urban district, Workshop II)
>
> "Does it work?" (Researcher)
>
> "Yes, the problem is that the products (resources) are finished. We are just waiting for the new financial year." (Urban district, Workshop II)

The researcher attempted to make deeper enquiries to understand the reasons why the products were finished but development workers only saw it as a problem that they could not influence.

#### *6.3.1.4 Access to funds*

Development workers and the destitute from the urban district council described accessibility to funds as inadequate for implementing the destitute rehabilitation programme. The destitute from the rehabilitation groups (urban district) expressed their frustration with the development workers' inability to access funding as follows:

> "We are not motivated because it's like we are going around and around in circles. When we are supposed to do it (destitute rehabilitation), the money is always an issue. We were told to collect quotations and the council was supposed to give us money but the quotations had expired, again now for the second time we had to get quotations and the money is still not there." (Urban district, destitute catering group, before Workshop IV)

> "Nothing has been done. We have only met three times and talked about the funds. We were told that requests have been made and sent to people. Up to now nothing has been done. The group was formed, we attended workshops and that was all". "What resources do you have to your availability?" (Researcher)

> "Nothing, except for having discussions with the government workers." (Urban district, destitute welding group, before Workshop IV)

These statements by the destitute reflect their perception that the success of starting the destitute rehabilitation projects was dependent on the availability of funds. The dependency on funding to make the destitute rehabilitation programme successful was also emphasised by the development workers. This perception led to a situation where no intermediate plan was made to counteract the lack of resources or to engage the destitute in other activities before the finances were released. This presents an opportunity to policy-makers and development workers to view the implementation of the destitute rehabilitation programme as not entirely dependent on funding, but to develop the rehabilitation project in accordance with the funding they have available at a particular time. This will enable development workers to be not victims of having lack of funds but to play a role in influencing the situation.

As reflected below by the excerpts of a conversation, development workers were encouraged to question their assumptions related to their ability to influence the situation of lack of finances:

> "Do you feel what you do (in terms of destitute rehabilitation) is adequate?" (Researcher)
>
> "The only problem is money." (Urban district, catering group, Monitoring session III)
>
> "Is there anything you can do without the money?" (Researcher)
>
> "No there is not." (Urban district, catering group, Monitoring session III)

Unfortunately this questioning did not result in finding deeper causes for the lack of progress in implementing the destitute rehabilitation programme. The interpretation of the situation is that development workers felt disempowered by the lack of funds and used it as an excuse for the little progress made.

This interpretation is consistent with the findings by Chan, Taylor and Markham (2008) that there is a direct link between disempowerment of employees and the lack of access to resources, which is also related to the resource dependency theory. The resource dependency theory states that an organisation will respond to and become dependent on the entities in an organisation that control the resources (Aldrich and Pfeffer 1976; Johnson 1998; Mudambi and Navarra 2004). The data of the current research showed that development workers are entirely dependent on the Department of Social Services (DSS) and the city and district councils for the obtainment of funds since these two departments control it. Development workers considered the situation of lack of funds as external to their sphere of influence and control.

However, poor communication and coordination between the development workers, council management and DSS impede the obtainment of funding for destitute rehabilitation. Even though development workers followed the council procedures it takes long to get feedback without the ability to release the funds. The lack of adequate communication in order to release funds poses a challenge to the Council Management and Department of Social Services to put clear procedures in place to allow for the necessary access to funds.

### *6.3.2 Operational functioning*

At council level, the Department of Social and Community Development (S&CD) encompass three disciplines, namely home economics extension, social work and community development. The operational functioning structure was described by development workers as the structure within which the home economics extension officers, social workers and community development officers function. The operational functioning structure also informs the job description of each of the three disciplines.

The operational functioning structure, which describes the operational functions, was considered ambiguous during all four the action research cycles in Phase I. This ambiguous structure led to a lack of differentiation between the three different disciplines, namely home economics extension, community development and social work. The result is that development workers only engage in general work across all disciplines, instead of having the opportunity to specialise in their particular area of interest. There are also no clear job descriptions in place to describe specific tasks of what development workers are expected to achieve.

Conger and Kanungo (1988) describe the lack of job descriptions and the lack of role clarity as part of the basis of employees' feelings of powerlessness. The absence of an adequate operational functioning structure may contribute to employees' feeling of helplessness and frustration and this might cause development workers to not trust their supervisors (Conger and Kanungo 1988). Even though a study by Chan et al. (2008) reflects that there is no significant relationship between the structural relationship of organisations and the feeling of empowerment of employees, Spreitzer (1996) states that the absence of an operational function structure can lead to ambiguity of tasks which may cause powerlessness. In order for employees to be empowered they need, according to Spreitzer (1996), to be provided with clear goals, tasks and an outline of their responsibilities.

Development workers described themselves as unable to take initiative in setting their own goals with tasks and responsibilities expected of them. This particular issue reflects how development workers believed that they were powerless to change their own circumstances and unable to engage in double-loop learning (Subsection 3.3.2.1[i]) in order to find the root causes of the problems. Identification of the root causes could have enabled them to design a new strategy for the development of job descriptions.

Emery (2000) states that when an organisation's power is held by a supervisor, the supervisees (development workers) depend on that person (supervisor) to take the initiative in the development of new strategies (Subsection 3.3.2.1[i]). This causes learning to be inhibited since supervisees are not encouraged to solve their own problems. The ideal is for development workers to be encouraged to reflect on their practices in order to question and change their circumstances, which is in this case the development of their own goals, task and responsibilities to implement destitute rehabilitation (Figures 3.6).

Another problem related to the operational functioning structure was that the destitute rehabilitation programmes were not being considered by the councils as a high impact area, as is the case with orphan care and home-based care. Due to the priority given to orphan and home-based care, these areas are provided with specifically allocated staff, resources and transport.

The following remarks confirm the requirement for changing destitute rehabilitation to a high impact status, in order to get specific resources allocated to the programme (which was suggested by the urban district, Workshop IV):

> "We need staff members that only concentrate on the rehabilitation of the destitute. We also need transport that is specifically used for rehabilitation."

The fact that destitute rehabilitation is not considered a high impact area, may lead according to development workers to:

- a lack of coordination between the three disciplines (home economics extension, social work and community development);
- a lack of resources, lack of time to spend dedicated to rehabilitation; and
- the fact that destitute rehabilitation is a routine daily task rather than a priority undertaken with enthusiasm.

It is clear that projects given high priority (high impact areas) are specifically allocated the transport and staff that they require. Therefore, a solution to the destitute rehabilitation programme's transport problem would be to change its area status to a high impact area.

### *6.3.3 Teamwork*

Teamwork is considered an essential aspect of the practices of development workers, since it forms the basis of engaging in dialogue and reflective practices to influence the environment within which development workers are functioning. According to Senge et al. (1994) and Hoegl and Gemuenden (2001), the fundamental elements of good teamwork include the following:

- each team member needs to understand the relationship between team members in relation to each other;
- each team member needs to understand his/her function, he/she needs to be committed to accomplish his/her functions in order for the team to be successful, and each team member should be adequately skilled to accomplish his/her functions as part of the process;
- team members should have a collective desire to create something new and the desire to form relationships with other parts of the organisation;
- frequent, formalised and structured communication with an openness to exchange information;
- coordination between team members, where all members have clear sub-goals; and
- mutual support between team members where group members are working on common goals and share workload.

None of these elements were identified by the researcher as present in development workers' practices, in particular destitute rehabilitation practices. Development workers' experiences of teamwork was expressed in terms such as "low team spirit", "poor working relationships" and "lack of consultation among officers" during the three workshops in Action Research Cycle I. Development workers indicated that:

- they do not understand the role that they need to play and the roles that other development workers ought to play in destitute rehabilitation;
- development workers do not work collectively as teams together to influence change in the councils;
- communication between development workers and development workers with their supervisors is not adequate;
- development workers consider the goals that they need to share as a team as not clear; and

- there is no mutual sharing of responsibilities and workload between development workers.

Unfavourable working conditions such as a lack of operational functioning structure, a lack of resources and poor staff welfare (specifically related to low salaries and a lack of incentives), were the reasons given for the lack of teamwork. Development workers took no responsibility for the lack of teamwork, and they saw it as a problem that could not be influenced by them. A study by Mok and Au-Yeung (2002) shows that there is a relationship between the presence of teamwork in organisations and the empowerment of employees. The findings of this research further reflect that development workers feel powerless to influence their operational behaviour environment and hence also experience a lack of teamwork. However, if development workers understood the benefits of teamwork they would have looked for connections with other development workers and role players in destitute rehabilitation to influence their operational behaviour environment.

The concept of *teamwork* between the destitute and development workers also emerged as an important aspect during the implementation of the destitute rehabilitation programme. There was no evidence of teamwork among staff members and the destitute in any of the destitute rehabilitation groups. This is further discussed in Subsection 7.2.5, which describes the lack of cohesion between development workers and the destitute when problems are experienced.

### *6.3.4 Effective supervision*

Effective and prolonged supervision is, according to Chambers (2005), a necessity in development practices in order to build trust and support and to ensure the effective performance of development workers. According to development workers in this research, effective supervision refers to the supervisor's ability to guide and support development workers in terms of the tasks that are assigned to them. Supervision was described by all three the councils during the first workshops (Phase I) as inactive, poor and inadequate. Inadequate supervision was also connected to a lack of expert supervision and "moody" supervisors.

Conger and Kanungo (1988) describe inadequate supervision as an organisational factor that may lead to powerlessness of employees. Inadequate supervision may include firstly, authoritarian leadership styles that limit self-expression and autonomy of employees, and secondly, ambiguous roles, role conflict and role overload (Conger and Kanungo 1988). The data of the current research reflected how development workers describe themselves as unable to be creative and to take own initiative in their work. It was also evident from the data

obtained during this research, that development workers experienced their roles in destitute rehabilitation as ambiguous due to the lack of job descriptions as discussed in Subsection 6.3.2. Effective supervision will thus entail supervisors' ability to lead the development workers through destitute rehabilitation and setting broad goals together in the absence of job descriptions. Development workers saw themselves as powerless to influence these aspects, and described it as external to their sphere of influence. Dobbs (1993) suggests that when supervisors are supportive to their employees, employees tend to see themselves as influential and able to change situations, which was not the case in the current research.

The lack of supervisory skills was attributed to poor communication skills and top-down decision-making. It was suggested in Workshop I that inadequate supervision be addressed by supervisees to make the supervisors aware of their problems. However, it appeared during the first monitoring session (urban district) during Action Research Cycle I that the challenge was not to make supervisors aware of problems, but that there was never any feedback to supervisees after grievances had been voiced. The following statements reflect the destitute's experiences of inadequate support:

> "Liaising is done, but there is no feedback. I don't know if they do something about it."
>
> "We communicate but solutions are not always there. It takes time to communicate back (to get feedback after problems had been voiced)."

By looking at these statements, effective supervision is thus embedded in the feedback system as applied by the Department of Social and Community Development on council level. In terms of feedback by supervisors to supervisees, a study by Siegall and Gardner (2000) showed that the provision of feedback encourages employees to take ownership of their work. Mok and Au-Yeung (2002) also found that employees consider themselves as empowered when there is effective communication between supervisors and supervisees. This poses a challenge for the development of a supervision system which will support development workers through the implementation of a destitute rehabilitation programme by providing adequate communication and feedback.

### *6.3.5 Interference by politicians (councillors) in the rehabilitation process*

The operating manual (Ministry of Local Government 2002c) of the destitute policy states that councillors and other community leaders could be involved in:

- informing the community of the existence of the government provision to destitute people;
- identification and referral of potential destitute persons to development workers;
- monitoring and distribution of food rations as part of government provision; and
- encouraging the destitute to participate in the destitute rehabilitation programmes.

The findings of this research showed that the councillors' role in the destitute rehabilitation programme was linked to political interference in the rehabilitation process rather than to the fulfilling of the above-mentioned activities. During Phase I, interference by councillors was identified by development workers from all three the councils and the council management as a problem in the destitute rehabilitation process. Political interference is characterised by community members who receive preferential treatment by being registered as destitute without rightly qualifying to be registered. Destitute registration, in this case, is viewed as a campaign tool used by politicians, since decisions related to registration are based on political influence rather than on the destitute policy requirements, as reflected by the following statement:

> "They (destitute) will rather leave you (when you don't register them) in the office and report you to the councillor that you are not taking care of them. The councillor will come and say why did you give this one and why not this one. That is the problem we are facing." (Urban district, horticulture group, focus group discussion before Workshop IV)

The consequence of unfair registration is that it increases the number of registered destitute. Political interference is thus viewed as a hindrance to the destitute rehabilitation programme, since it overrides the regulations of the destitute policy. The destitute rehabilitation guidelines did not provide any guidance on how to prevent political interference.

### *6.3.6 Ability to network with stakeholders*

The city, town and district council's Department of Social and Community Development (S&CD) under the Ministry of Local Government has the overall responsibility for the implementation of the destitute rehabilitation guidelines (Ministry of Local Government 2002c:20). However, the operational guidelines (Ministry of Local Government 2002c:20) also state that S&CD councils should collaborate with ministries and departments such as the Ministry of Health, the Ministry of Education and the Ministry of Trade and Industry as well as council departments like the Department of Architecture and Building. A list of different stakeholders of the private sector, parastatal and other government organisations that can play a role in destitute rehabilitation is also outlined in the destitute rehabilitation guidelines (Ministry of Local Government 2002a).

During the first workshop (Phase I), the development workers stated that it is important to liaise and collaborate with, and to link the destitute with relevant stakeholders. The reality however, was very different as reflected by the following statements:

> "Poor integration with stakeholders." (Semi-urban district, Workshop I)
>
> "No consultation with stakeholders." (Rural district, Workshop I)

According to the development workers (from semi-urban district), the integration of stakeholders can be instigated by:

- identifying relevant stakeholders through workshops, seminars and the media;
- keeping a directory for all stakeholders;
- informing the destitute about available potential helpers; and
- organising a forum for clients and stakeholders.

However, the difficulty of working with stakeholders is revealed in the following statement:

> "Things are in a mess. The agriculture officer is very busy. She can just meet with us by chance. We need her to select new crops for us. She did not attend the last meeting and we needed her." (Urban district, horticulture group, focus group discussion before Workshop IV)

Even though development workers listed several ways to network with stakeholders as listed above, they depend only on the ways they are used to, such as workshops and meetings.

Development workers did not show any initiative to create other ways of networking with relevant stakeholders.

In order to engage in networking with stakeholders, development workers need to see destitute rehabilitation as part of a system over which they have control. The focus should rather be on the inter-relationships among key components of the destitute rehabilitation system in which stakeholders ought to play a supportive role (as suggested by Ackoff 1981, Checkland 1981 and Bawden 1997). These inter-relationships should include attitudes, perceptions of all the stakeholders and their ways of decision-making (Senge et al. 1994). Appreciation of these components will enable development workers to engage in double-loop learning through the investigation of the underlying causes for the lack of stakeholder contribution in destitute rehabilitation in order to strategise new ways of interacting with the stakeholders.

The ability to network with stakeholders is thus related to the development workers' ability to understand the destitute rehabilitation system within which the contribution of the stakeholders plays an integral role. In addition, development workers need networking skills, which will enable them to interact with different stakeholders and to build trustworthy relationships.

### *6.3.7 Time management*

Development workers from the urban and rural districts identified time management as a skill needed for effective destitute rehabilitation practices. Understanding of the problem of time management revealed however that development workers consider the lack of time management as caused by their operational behaviour environment. This reflects again that development workers regard their sphere of influence and control as external to themselves (Subsection 6.3.2), since they view their time management practices as being controlled by external factors.

Two impediments of effective time management were identified. The first is the lack of a sufficient number of development workers giving rise to development workers not spending enough time implementing the destitute rehabilitation programme, as reflected by the following question and answer:

> "Do you feel you plan your time well?" (Researcher)

> "Clients come anytime of the day. Situation will improve when the amount of officers increases." (Urban district, monitoring I)

The second impediment identified is the emerging of emergency situations which force development workers to attend to emergencies, at the expense of their work plans as reflected by the following statements:

> "We try to adhere to work plans but there are too many emergencies." (Urban district, Workshop III)

> "There are still emergencies that we face, which make time management difficult." (Urban district, Workshop III)

These emergency situations may include instructions from supervisors and clients who require development workers' attention as well as workshops and meetings that development workers are involved in. Irvine et al. (2004) also found that development workers spend a vast amount of time in meetings, policy discussions and strategic planning workshops instead of spending time with the destitute. This results in development workers not spending enough time with the destitute and not understanding the destitute and their experiences.

Development workers consider their supervisors as those who influence their (development workers) operational behaviour environment in terms of spending time on destitute rehabilitation:

> "I improved with time management but supervisors change our schedules by asking for attending to emergencies. I do it but the work is too much and I end up not finishing day duties." (Urban district, monitoring I)

This statement shows that development workers attributed their poor time management to outside influences that distract them from their plans. This led to a shift in priorities of development workers to other important matters and they consequently do not do the work that they are intended to do. In order to prioritise activities they have to attend to, it is necessary for development workers to understand the system within which they are operating and the critical points in the system. Decisions related to allocation of time should be in accordance with these critical points in the system. Once development workers understand how their decisions affect the whole system they will be able to anticipate the consequences of their time allocations. This suggests that development workers need to engage in reflective

practices to gain a deeper understanding of their practices in the destitute rehabilitation system.

### *6.3.8 Summary of the operational behaviour environment*

Even though this subsection (6.3) describes factors that influence the operational behaviour environment within which development workers are functioning, important aspects that inhibit development workers to be resilient to these influential factors were identified. It became apparent that development workers exhibit an external sphere of influence in terms of the operational behaviour environment in which they are functioning. This means that development workers did not consider it their responsibility to overcome the inhibitors that negatively influence their practices. The reason for this, as provided by Conger and Kanungo (1988), is that development workers experienced themselves as having no power compared to other external sources of control like supervisors and policy-makers. This involves, according to Chambers (2005) and Oxaal and Baden (1997), a relationship of superiors' domination over subordinates. This may lead to development workers who are powerless in their situation and not able to be creative and innovative to influence their situation (Conger and Kanungo (1988); Oxaal and Baden 1997; Emery 2000; Roper and Petit 2003) as was also reflected in the findings of this research.

## 6.4 Comparing the development workers' perspectives of the destitute to the destitute's perspectives of themselves

Together with mental frameworks, perspectives are defined as being part of worldviews that reflects how one "sees" the world and how the world is interpreted. The understanding of individuals' perspectives enables understanding of the objectives of people and describes the action people are attempting to take in a specific situation. In order to understand the objectives of people in the complexity within which they are working, their perspectives need to be taken into consideration (Checkland, 1999).

The development workers' perspectives during the first workshops (including all three councils) revealed the following three main characteristics that the development workers attributed to the destitute:

- the destitute are oppressed by their situation, which is revealed by certain negative attributes;
- the destitute do not believe that they can be rehabilitated; and

- the destitute do not believe they are properly assisted by the development workers (only emerged once as a perspective of development workers in Action Research Cycle I).

These different perspectives are summarised in Table 6.2, which also shows a cryptic evidence of the perspectives as well as the subsection where the perspectives are described.

**Table 6.2: Perspectives of development workers related to the destitute**

| Perspectives of development workers | Cryptic evidence of development workers' perspectives | Expanded in subsection |
|---|---|---|
| The destitute are oppressed by their situation. | "they are hopeless, unmotivated, have an inferiority complex"<br>"they are alcohol abusers"<br>"they are not aware of their capabilities" | Subsection 6.4.1 |
| The destitute do not believe that they can be rehabilitation. | "they (the destitute) are trapped in lifelong dependency"<br>"they continue the poverty cycle of their parents"<br>"they are dependent and do not want to be rehabilitated"<br>"they do not want to participate"<br>"they are scared that they will not receive food rations" | Subsection 6.4.2 |
| The destitute do not believe that the development workers take ownership of and responsibility for the destitute rehabilitation programme. | "they (the destitute) say: 'even though we are weak and sick, we are blaming the social workers or the council in delaying with the processing of our requests'" "because of the delay they are frustrated, bitter and they later give up" | Subsection 6.4.3 |

The perspectives of development workers that were taken into consideration were captured during the first workshops in which the three different councils took part as well as during the destitute rehabilitation process (Action Research Cycles II to IV) in which only officers from the urban council took part.

Findings related to the destitute's perspectives that were taken into consideration were captured during the interviews with 36 destitute from the three different councils and the focus group discussions with destitute from the urban council who took part in the destitute rehabilitation process (Action Research Cycles II to IV). The destitute who were interviewed in Phase I were not representative of the destitute who took part in the focus group discussions.

The three categories that were used as an outline to describe the development workers' perspectives (Table 6.2) include negative attributes caused by the destitute's state of oppression (Subsection 6.4.1), the destitute's probability to be rehabilitated (Subsection 6.4.2) and the ownership and responsibility of development workers in destitute rehabilitation (Subsection 6.4.3).

### *6.4.1 Perspectives related to negative attributes of the destitute caused by their state of oppression*

The development workers described the destitute as having low self-esteem and an inferiority complex, and as being unmotivated and unaware of their capabilities. The destitute described themselves also as not free, unhappy and labelled because of their circumstances:

> "I feel unhappy, especially that I am unemployed. I wish I could be working somewhere." (Urban district, interview with destitute)

> "I just accept myself, but I don't like the name (destitute) because it emphasises that a person is unable to fend for himself but I have hands, I can do a lot for myself, and that worries me because I could take poverty out of my home." (Semi-urban district, interview with destitute)

Both these statements reflect negative attributes as experienced by the destitute but at the same time the destitute stated that they can do something about it (their state of destitution) if they get an opportunity to work or develop their skills. The second statement also shows that the negative attributes of the destitute caused by their state of oppression were connected to stigmatisation. According to Goffman (1963), stigmatised people often live according to the expectations of those who stigmatise them. The term *destitute* may therefore cause the destitute to live up to the expectation of powerlessness as implied by this term.

After Workshop IV, the development workers had the same perspectives of the destitute as they (development workers) had in Action Research Cycle I, but added that the destitute blamed other people for their situation.

> "The destitute are bitter and angry because they do not want to take responsibility of their own situation. They blame people and think it is another person's responsibility to take care of them." (Urban district, horticulture group, before Workshop IV)

Ironically, this statement describes development workers' perspectives of their own situation, since they blamed the government of Botswana for their feeling of powerlessness and sought as a solution that the government change the situation.

During the interviews with the destitute, one third (twelve out of 36) of those who were interviewed blamed themselves and not other people for their situation. No one blamed the government for their state of destitution, but three blamed God, three blamed their parents and four blamed their partners.

> "Whose fault is it that you are living in this situation?" (Researcher)
>
> "I am blaming my parents. Maybe if they could have taken me to school I could be employed and could be somewhere in life. Again, I am blaming myself because when I reached womanhood, I rushed to child bearing. If I had no children maybe my life could have been better." (Rural district, interview with destitute)

This statement indicates that the destitute tend to recognise that something/someone was the source or cause of their circumstances which was either themselves, God, their parents, their partners, witchcraft or sickness.

During Workshop I, the destitute were described as dysfunctional by the development workers from all three the councils. The concept *dysfunctional* was in all the cases linked to alcohol abuse. The destitute themselves never referred to alcohol abuse specifically. A study by Serr (2004) revealed that the poor often use coping mechanisms, like alcohol, to provide temporary relief of their feelings of powerlessness, depression, lack of self-esteem and health problems.

### *6.4.2 Perspectives related to the destitute's probability to be rehabilitated*

The development workers' view that the destitute were dependent on handouts was evident during Action Research Cycle I and at the end of Action Research Cycle IV. It was specifically described as "an obstacle to destitute rehabilitation".

> "I have tried to identify groups, they don't want to go into rehabilitation but rely on the government. The people are raw and resist change." (Rural district, monitoring I)

After Action Research Cycle IV, dependency on handouts was considered by the development workers to be related to the following fears:

- the rehabilitation project might fail;
- the destitute do not believe in themselves;
- the destitute might develop a dependency on food baskets; and
- the destitute might not be committed to the rehabilitation projects.

These perspectives by development workers are reflected in the following statements:

> "The destitute person does not want to exit the destitution programme. They doubt their capability." (Urban district, horticulture group, before Workshop IV)
>
> "The destitute person wonders: 'What if the project fails? We will lose our food rations, what is next?' That is their biggest fear." (Urban district, cleaning group, focus group discussion before Workshop IV)

The findings of the current research showed that ten of the 36 destitute (27%) who were interviewed indicated that they had accepted dependency as their fate, but that they also desired to take part in a rehabilitation programme while continuing to receive the same social benefits from government. This was reflected in the following statement:

> "The government should assist us, but at the same time, it will be good if the person who is assisted could do something for her/his life." (Urban district, interview with destitute)

This statement shows the destitute's dependency on the government to survive but at the same time it shows their acknowledgement that they would like to be independent. Rowan-Campbell (1999) states that the poor (destitute) are often not able to take chances on change strategies to change their situation. It is therefore important to understand the situation of the destitute and to develop beneficial approaches and activities accordingly (Rowan-Campbell 1999).

The destitute's desire to become independent of government handouts was more evident than a desire for a lifelong dependency on handouts. Only four of the 36 destitute considered that they would never be able to become independent and that they did not want to take part in a rehabilitation programme. Two of those four destitute accepted lifelong destitution as their fate due to illness, and the other two accepted destitution as their fate because of their

unfavourable circumstances. The following discussion between the researcher and a destitute person from the urban district reflects the destitute person's experience of accepting destitution as part of their identity:

> "Do you have any skills?" (Researcher) "No, I am just a human being." "Would you like to learn any skills? (Researcher) "No, I don't think there is anything that I can manage." "Do you have any idea on how you can generate your own income?" (Researcher) "No, I cannot do anything for myself."

This is related to Brown's (2005) argument that the destitute might adopt poverty as part of their identity as they feel trapped in the poverty cycle. This can be caused by a continuous feeling of powerlessness that causes the destitute to believe that their situation cannot change and that they cannot see their situation on an alternative manner (Kabeer 1999; Lukes 2005).

### *6.4.3 Perspectives on the ownership and responsibility of development workers in destitute rehabilitation*

The development workers' perspective that the destitute feel that they are not well assisted in the destitute rehabilitation programme was confirmed by the destitute during the interviews and at the end of Action Research Cycle IV. According to the interview data, six of the destitute had previously taken part in a poverty reduction programme. Five out of those six stated that the programme had failed, while the sixth one could not apply the skills he had learnt. The following statements reflect such cases:

> "We went there and we registered so that we can knit but there was only one person who taught us skills. We then gave up until now." (Urban district, interview with the destitute)

> "We were once called for such workshop, but they told us that they will come again. Similar questions to this one were asked, such as 'will we be interested in income-generating projects?' but nothing happened." (Urban district, interview with the destitute)

This poses a challenge for development workers who need to put the appropriate systems in place before the destitute are promised the training skills. Failure to meet these promises may lead to the destitute losing faith in the development workers, and they could ultimately cause further resistance to change.

After Action Research Cycle IV, the development workers described themselves as "responsible for the destitute" and as "the cause for the failure of rehabilitation", as reflected by the following statement:

> "They (the destitute) say: 'even though we are weak and sick, we are blaming the social workers or the council in delaying with the processing of our requests'. Because of the delay they are frustrated, bitter and they later give up. They are ready to be rehabilitated, it is up to us not to disappoint them." (Urban district, horticulture group, focus group discussion before Workshop IV)

It was confirmed by the destitute who participated in the rehabilitation programme that they depend on the development workers to make a success of the destitute rehabilitation programme and blame them for failure:

> "The development workers seem not to be serious but our group takes it serious." (Urban district, destitute horticulture group, focus group discussion before Workshop IV)

> "They know they should help but they never come." (Urban district, destitute catering group, focus group discussion before Workshop IV)

At the end of Action Research Cycle IV, the destitute indicated that they were eager to take part in destitute rehabilitation and that they were still hopeful despite past failures. The destitute also stated that they wanted to work in groups, to learn from each other and to share ideas, as reflected by the following statement:

> "We would like our group to grow and end up inviting other people into the group to improve the quality of their lives." (Urban district, destitute catering group, focus group discussion before Workshop IV)

This statement shows the destitute's openness to not only the development of human capital (their own capability to perform a skill or to start an income generating project) but also to the development of social capital (Subsections 2.3.2.3 and 2.3.2.4). The development of social capital enables the sharing of control in a group and collaborative decision-making gives people value, respect and power in the group. This proposes that the destitute acknowledge the ability they will have to develop others after they had been assisted by the government.

The issue at hand is still that development workers are not taking ownership for and responsibility of assisting the destitute throughout the rehabilitation process. As a result the

development workers are not able to influence the destitute to take ownership for and responsibility of their own rehabilitation process.

### *6.4.4 Summary of development workers' perspectives in comparison to the perspectives of the destitute*

Development workers and the destitute share the same perspectives in terms of negative attributes of the destitute but there was a discrepancy in perspectives in terms of the destitute's willingness to be rehabilitated. The development workers taking part in this research believed that the destitute prefer dependency on handouts and do not want to be rehabilitated. The data showed, though, that the destitute want to be rehabilitated, but they are dependent on the development workers to take them through the process of rehabilitation. However, the development workers and the destitute described the support available for the destitute during the rehabilitation process as inadequate.

According to Curry (2000), the development workers' perspectives of the destitute will direct the development of societal structures and development practices, which affect the building of social capital in a community and affect the perspectives, actions and behaviour of individuals and community groups (Curry 2000). In Figure 2.4 in Reflection Box 2.3, the researcher made the assumption that development workers' perspectives of themselves and their ability to influence their operational behaviour environment together with their perspectives of the destitute has an effect on the degree to which development workers will influence the destitute to change. The findings of this research showed that development workers do not perceive the destitute as willing to be rehabilitated and at the same time they do not believe that they as development workers can influence their own operational behaviour environment. The direct effect that these perspectives have on the destitute's willingness to be rehabilitated has not been established. However, it was evident that the destitute rehabilitation programme was negatively perceived by the destitute and that development workers' practices did not lead them (the destitute) to change.

## 6.5 Destitute rehabilitation programme guidelines

Government policies or activities can, according to Gerston (2004), have an opposite effect to what was planned on a community due to unintended consequences, since the implementation practices may be inadequate to bring about the required results. This means that the action related to the implementation of the policies may lead to results that were unanticipated.

Hunter and Marks (2002) list three causes that can contribute to inadequate implementation practices:

- a policy that is carried out exactly as prescribed but which can fail due to external circumstances;
- a policy that is poorly designed; and
- a policy that is badly executed.

It was not a deliberate aim of this research to establish which of the above three causes hindered destitute rehabilitation in Botswana. However, it was evident that:

- the operational behaviour environment within which the destitute rehabilitation programme is implemented is not conducive to successful implementation (Subsection 6.3);
- the approaches applied by development workers are not appropriate for addressing the needs of the destitute, and the development workers' perspectives and attitudes are not supportive of destitute rehabilitation (further discussed in Subsection 6.6); and
- according to development workers, the destitute rehabilitation guidelines are not clear and they (development workers) do not know what is expected of them (development workers) in terms of programme implementation requirements.

Councils are also visited annually by the destitute rehabilitation coordinators from the Department of Social Services to discuss destitute rehabilitation, to monitor progress and to advise development workers. However, there is no evidence to suggest that these causes for failure in implementation of the destitute rehabilitation programme are analysed by the policy-makers during these visits.

Development workers were consulted during the development of the destitute rehabilitation guidelines and they were conscientised on how to implement the guidelines during a workshop in 2004 (Action Research Cycle I of this research started in 2005). Despite this, development workers described the destitute rehabilitation guidelines as unclear. One reason that was given for this is that supervisors have attended the conscientisation workshops and the information gained was not thoroughly explained to development workers. Another reason might be that, after these workshops, development workers never engaged in strategising sessions with other development workers and village development committees on how they could implement the destitute rehabilitation guidelines.

The following statements show that development workers' understanding of destitute rehabilitation was enhanced during the implementation of the first workshop (Phase I) of this research:

> "We got an idea of how we can do the rehabilitation programmes. At first we did not have something that is drawn to show us how to implement the rehabilitation programme." (Urban district, Monitoring session I)
>
> "The workshop helped us to get focused." (Urban district, Monitoring session I)

Although development workers' understanding of destitute rehabilitation was enhanced and they were encouraged to question their practices in the context of their challenging environment, implementation was still hindered by their operational behaviour environment:

> "The workshop was good, we got tools to implement the destitute rehabilitation programme but we have schedules we need to follow. We didn't have time to reach out to the destitute." (Rural district, Monitoring session I)
>
> "We have light on what to do about rehabilitation. But now nothing has changed." (Semi-urban district, Monitoring session I)

It is thus evident that the problem is not only linked to the unclear destitute rehabilitation guidelines, but also to the issue of development workers believing that their operational behaviour environment, within which the destitute rehabilitation programme is being implemented, does not support implementation of the programme. This shows yet again that development workers' sphere of influence and control is external to themselves and they do not consider themselves able to influence the situation.

Two policy-making models were described in Subsection 3.3.1.1(i) (Figure 3.2), namely the classical model and the integrationist model. The model (Figure 6.1) applied by policy-makers in this research is best described by the classical model (Figure 3.2).

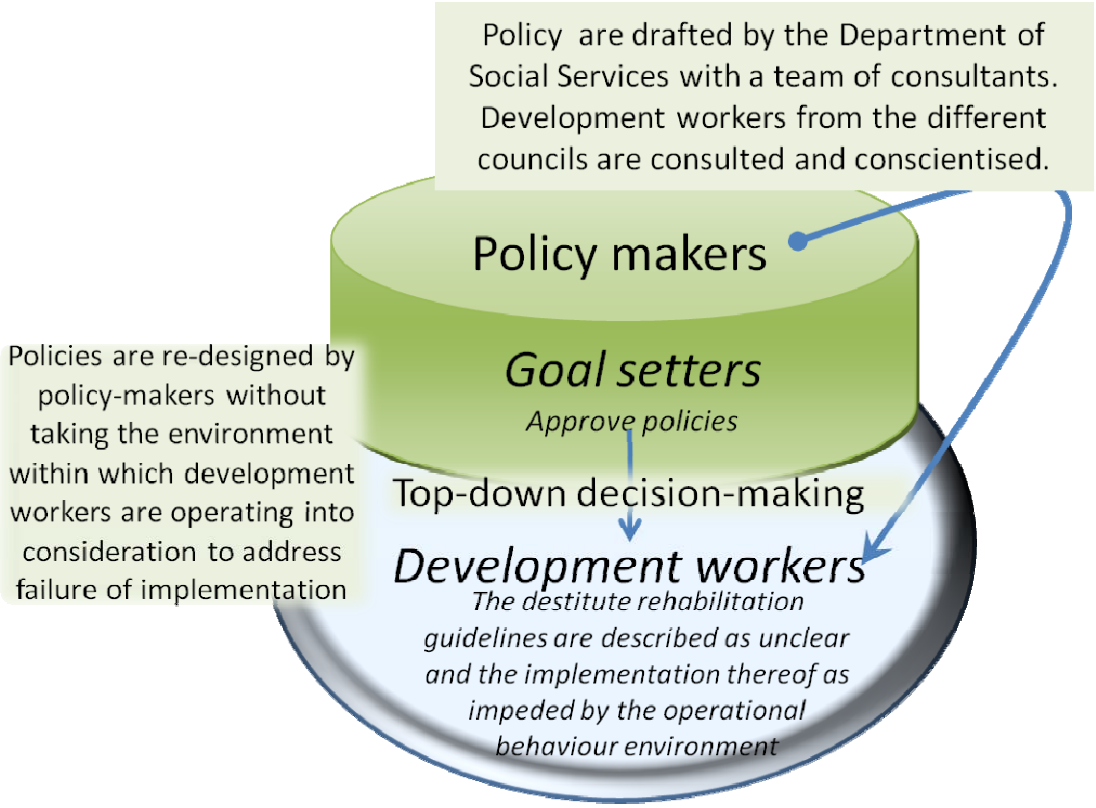



**Figure 6.1: The policy-making model applied by policy-makers based on the findings of this research**

As determined in this research, the policy-makers and policy implementers (development workers) have separate and very distinctive roles in destitute rehabilitation, which do not overlap (Figure 6.1). Since a classical approach is used for policy-making in Botswana, development workers are unable to use their creativity and initiative during the destitute rehabilitation implementation process to override the challenges caused by the operational behaviour environment. This is related to Emery's (2000) statement that when an organisation's power is held by a group superior to other employees (in this case the policy-makers), the employees (in this case development workers) are dependent on the supervisor to act and perform and there is no freedom for them (development workers) to be creative.

In contrast with this, the integrationist model suggests that policy-makers monitor the process of policy implementation, and at the same time allow the policy implementers to set their own goals. The envisaged problem of letting policy implementers set their own goals is that they might set goals according to the available resources. When development workers feel disempowered by their situation, as was the case in this research, they will not exert themselves to accomplish their goals. There is an interplay between goals set by development workers and the available resources. If development workers set their goals in relation to a

lack of resources, they will set limited goals and will not make more progress than the available resources allow. If, however, they set goals that require more resources than what are available, they will make a plan to obtain the required resources to match their goals.

## 6.6 Destitute rehabilitation practices

During Phase I (application of the four action research cycles) and Phase II (development of the literature review), it became apparent that the factors influencing development workers' destitute rehabilitation practices, include:

- their exposure to training;
- the acquisition and application of required skills and knowledge;
- development workers' attitudes towards destitute rehabilitation; and
- the approaches development workers employ during destitute rehabilitation.

### *6.6.1 Exposure to training*

The need for training of development workers emerged as an essential element of effective destitute rehabilitation practices. The following aspects related to the development workers' need for training will be described in this section:

- the types of training development workers want to be exposed to (Subsection 6.6.1.1);
- the training approaches they are exposed to (Subsection 6.6.1.2); and
- the justification for development workers' need for training (Subsection 6.6.1.3).

#### *6.6.1.1 Types of training*

Formal as well as informal training methods were identified to address the development workers' training needs. Formal training entails enrolment at a higher education institution for an advanced qualification. Exposure to formal training was described as a long-term solution to address the lack of training, since it is a lengthy process to be admitted for tertiary education.

Informal training was related to conscientisation workshops and in-service training. The Department of Social Services and the S&CD councils conduct pre-scheduled workshops throughout the year for information sharing and for the purpose of raising awareness related to destitute rehabilitation and other development work practices.

In-house training was suggested by development workers from the urban district during Workshop I as a solution to in-service training, where officers would train one another or otherwise an outside consultant would facilitate a training workshop:

> "Some training needs can be addressed in-house to teach other staff. We don't need resources to do that. We need to identify areas that can be addressed. It is cheaper than getting some consultants from outside. While we wait for the Human Resource Department, we can fill the training needs gaps."

Computer training, record keeping, time management and project management were the subjects identified to be addressed through in-house training. However, this plan for in-house training was not realised as is evident from the following statements:

> "I met with the head of department and deputy head of department (from the urban district). They wanted to have a workshop to address the issue of record keeping this week. But it failed; it will definitely take place before middle September." (Urban district, destitute rehabilitation coordinator, Workshop III)

> "Computers are down so we stopped training." (Urban district, Workshop III)

It was evident that the success of in-house training was, according to development workers, dependent on the operational behaviour environment within which development workers were operating, which, at the time, could not accommodate the training needs of the development workers.

Even though training related to technical and administrative skills was suggested by development workers, the real problem was not that these skills could not be implemented but rather that the development workers considered themselves unable to influence their environment. The challenge is therefore for development workers to be exposed to appropriate training approaches that will induce the development of lifelong learning skills. This will enable development workers to engage in reflective practices, critical thinking and dialogue in order to question their operational behaviour environment. This is discussed in more detail in the next subsection (Subsection 6.6.1.2).

#### *6.6.1.2 Approach to facilitate training and information sharing*

As already mentioned in Subsection 6.6.1.1, the Department of Social Services and the councils use workshops as a medium for preparing development workers for the implementation of the destitute rehabilitation programme. The question is, however, whether

workshops, where information is shared and participants are consulted regarding their views, are adequate as a means to bring about the desired change in the practices of development workers. It was evident that these workshops did not result in improved work practices and, in terms of destitute rehabilitation, did not result in an increased understanding of what is expected of development workers.

The following statement by the destitute rehabilitation coordinator from the urban district reflects development workers' belief that the problems are not related to the training approach, but that the operational environment is not conducive to the implementation of the newly acquired knowledge:

> "Workshops allow dissemination of information. It is the structure that is a problem. The problem is not related to workshops that are not working. It is though important to monitor plans and to have strategic action plans for implementation. The workshops as such are good when you introduce new elements but it is the follow-up that is lacking." (Urban district, destitute rehabilitation coordinator, Monitoring session III)

The challenge that this statement proposes (in terms of training) is to create an appropriate support system for the implementation of the specific skills and knowledge acquired through these workshops. Another challenge is to facilitate training or dissemination of information in such a way that development workers are encouraged to apply lifelong learning skills like reflective practice, critical thinking and dialogue as depicted in Figure 3.6.

Workshop I, of this research, aimed to encourage the application of these lifelong learning skills but the participants were still not led to influence change, as reflected by the following statement made by a development worker:

> "We have patched some problems but the environment had not changed. The desire is there. Time constraint is still a problem. We know there are things that can change but the problem is time." (Semi-urban district council, monitoring I)

This statement shows that consciousness-raising had been provoked, but that there are still factors that impede the implementation of acquired knowledge. After the first workshop where development workers were exposed to lifelong learning principles, development workers considered themselves able to challenge their operational behaviour environment as reflected by the following statements:

> "I thought the problems that we experience will always be there. When we started working at S&CD, people told us that there are certain problems at S&CD that will never change. The workshop showed me that a lot can be done to change. It doesn't depend only on management but it rather depends on us as employees." (Urban district, Monitoring session I)

This shows that the approaches used by the researcher in Workshop I challenged the development workers to question their perspectives as promoted through the application of the liberation approach (Subsection 2.3.2.3). However, development workers were not encouraged to convert this awareness into influencing change in their organisation as promoted through the transformation approach (Subsection 2.3.2.4).

The following four key actions related to lifelong learning skills (see Subsection 3.3.2.1[ii], Figure 3.6) were acknowledged by development workers as essential if they want to influence their operational behaviour environment:

- reflection on practices as well as self-reflection:

  > "I learnt a lot of things I omitted in my practices like sharing ideas with other and reflect on what one is doing." (Semi-urban district council, Monitoring session I)

  > "From the session I learnt that as much as we are trying to help the destitute persons better their lives by engaging them in projects, we also have a task of freeing ourselves from oppression. We talked about finding a way of dealing with the work overload we have, which is making it difficult for the project to continue." (Cleaning group, focus group discussion before Workshop IV)

- critical thinking:

  > "When we are in workshops we tend to take some people's views for granted but here you made us feel that we need to engage in critical thinking." (Urban district Workshop III)

- involvement in own problem-solving:

  > "We should solve our problems by ourselves not to wait for someone to solve them for us." (Horticulture group, focus group discussion before Workshop IV)

> "I have learnt as a team we can find ways of solving problems." (Urban district, Monitoring session I)

- dialogue as a team:

> "I have learnt that meeting with the officers to discuss our experiences can make us to think of ways to address the issues that other officers are experiencing. So this meeting is very important to share the experiences of different groups." (Urban district, group discussion after Workshop IV)

These four aspects form part of action inquiry (Subsection 3.3.1.1[ii]), since it (these aspects) enable development workers to openly share their perspectives, and to develop knowledge of one another's perspectives.

#### *6.6.1.3 Justification for development workers' need for training*

Development workers linked the absence of training to their inability to conduct their work effectively, poor service delivery, a lack of relevant and new skills, poor communication, unprofessional conduct, incompetence and low productivity (all three districts, Workshop I). It was not clear whether development workers are committed to change these consequences related to the absence of training, since there was no evidence that development workers accepted the responsibility for implementing newly learned skills and knowledge.

Development workers indicated that they want to be trained for two reasons:

- to get promotion and earn higher salaries, in the case of long-term, formal training; and
- to improve the quality of their work.

Training, together with higher salaries, was identified as an essential component of work satisfaction as reflected by the following statement:

> "I feel frustrated because there are no further studies and no progress in what I am doing. The salary is low. I am thinking of a way out to find happiness some day. I am looking forward to that." (Urban district, focus group discussion before Workshop IV)

The question remains whether there is a relationship between development workers' reasons for enquiring into training and the effect that the training has on their practices. An example is the case of development workers wanting to be trained for promotion and a higher salary

versus those wanting to be trained for the purpose of professional development and work improvement. This may affect how receptive they are to the type of training they are exposed to.

### *6.6.2 Skills and knowledge*

The data collected during the workshops (Phase I) and implementation of the destitute rehabilitation programme (monitoring session) revealed skills and knowledge that are specifically required for the implementation of the destitute policy and the destitute rehabilitation programme.

#### *6.6.2.1 Skills related to the implementation of the destitute policy*

In terms of skills required for the implementation of the destitute policy (registration of the destitute to receive benefits from government), record keeping and the ability to carry out case reviews were identified.

**i) Record-keeping skills**

Record-keeping skills were found to be lacking and were considered to be a necessity by all three councils during the first action research cycle. Record keeping was described as the documentation and updating of information relating to the registration of the destitute. The following two statements reflect the importance of appropriate record-keeping skills:

> "Record keeping is a problem. We have many cases to attend to but it is not nice. We don't have clear records of beneficiaries." (Rural district, monitoring I)

> "The lack of record keeping causes confusion and cause that there is no basis of intervention." (Urban district, monitoring I)

The lack of these important skills leads to poor recording and updating of information relating to each of the destitute. During the implementation of the four action research cycles, it was suggested that the development workers be provided with record-keeping training, but unfortunately this did not occur. It was however clear that the problems related to record keeping was not only due to a lack of skills but also to the lack of a record-keeping structure. Therefore the development workers do not have the necessary data available that reflects the circumstances of the individuals with whom they work.

**i) Ability to carry out case reviews**

Another gap in the skills of the development workers was found to be the inability to effectively carry out case reviews, as reflected by the following statements:

> "(We are) very poor in reviewing our clients especially the destitute." (Rural district, Action Research Cycles I)
>
> "The monitoring is insufficient." (Semi-urban district, Action Research Cycle I)

Case reviews are performed, firstly, upon registration of the destitute and, secondly, as a follow-up exercise for re-assessment and monitoring during home visits with the destitute after they had been registered. The inability to perform case reviews ultimately leads to an information gap as changes in the circumstances of the destitute are not recorded and updated. This information shortfall can affect the development workers' ability to establish whether or not the destitute need to exit the rehabilitation programme (Urban district, Action Research Cycle I).

Poor administration in terms of record keeping and case reviews is similar to the findings of Kazepov's (2001) study in Italy, which reflected that there was inadequate management of information due to a lack of monitoring systems in place related to a social welfare programme. Kazepov (2001) suggested the implementation of an adequate system to solve the problem of poor management of information (record keeping) instead of mere training of record-keeping and case-review skills. Development workers therefore need to be encouraged to question their current practices related to record keeping and the carrying out of case reviews to establish the root cause why they are not able to implement it.

#### *6.6.2.2 Skills related to destitute rehabilitation*

The action sheets that were developed during all four workshops together with the monitoring data revealed the skills required to enable development workers to effectively implement the destitute rehabilitation programme. Table 6.3 (first column) shows the key destitute rehabilitation activities that were proposed during the four workshops in Phase I (Appendix 2a–c) as well as the destitute rehabilitation steps proposed by the destitute rehabilitation guidelines (Table 6.3, second column). The sections (third to sixth column) in italics show what development workers had accomplished (based on monitoring) while the other sections show what they planned to accomplish.

**Table 6.3: Framework of proposed plan of implementing the destitute rehabilitation programme and actions that have been executed**

| **Key destitute rehabilitation activities related to findings of this research** | **Steps proposed for destitute rehabilitation in the guidelines** | **Workshop I** | **Workshop II** | **Workshop III** | **Workshop IV** |
|---|---|---|---|---|---|
| Mobilise the destitute | Community mobilisation | Identify destitute to be involved.<br>Disseminate information on rehabilitation. | *Destitute were identified and rehabilitation groups were formed.* | | |
| Needs identification<br>Training the destitute | Needs assessment<br>Selection/identification of the project/programme<br><br>Resource mobilisation<br><br>Business training | Identify training needs.<br>Conducting workshops – conscientisation and skills training.<br>Mobilise resources.<br>Identify trainers.<br>Train vocational and business skills.<br>Evaluate the training. | *Training needs were identified through questionnaires.*<br>*Conscientisation workshop was conducted to arrange the destitute into groups.*<br>*Experts were invited to the conscientisation workshop, but only the agriculture officer was involved after the workshop in initiating the horticulture project.*<br>Training in technical, business (financial and record keeping) and life-skills (self-reliance, assertiveness, negotiation). | *Rehabilitation groups (catering, cleaning, horticulture, welding and waste paper collection) were exposed to business skills and group-dynamics training.*<br><br>Technical, life-skills (conflict resolution and problem-solving) and business training (record keeping, business plan, opening of bank account and marketing). | |
| Market survey | Market survey | Identify market opportunity. | Execute viability assessment of projects *(was done by only one of the groups).* | | |

| | | | | | |
|---|---|---|---|---|---|
| Networking/linking destitute with stakeholders and existing programmes | Stakeholders to be consulted during the whole process | Networking with existing projects.<br>Incorporate stakeholders to conduct training.<br>Connect destitute to a mentor. | Arrange field trips to existing project.<br>Link destitute to funding agencies. | | Bring mentor on board.<br>Link the destitute to someone who was in the same position.<br>Let expert visit the project regularly. |
| Counselling | Counselling is considered an ongoing process | Interviews and group discussions. | *Individual and group counselling has been conducted.* | Four of the groups met regularly and one stopped functioning | Meetings stopped except for one group (waste paper collection) because of lack of resources. |
| Group formation | | Forming groups. | *Destitute rehabilitation groups were formed.*<br>Allocate duties<br>Writing rules and regulations. | *Three groups registered company names.*<br>Allocate duties.<br>Allow the destitute to facilitate meetings.<br>Develop team contact.<br>*Team contracts were developed for three of the groups.* | Encourage group members to make their own decisions. |
| Obtaining of funds | Development of business plan | Link destitute with funding agencies or sources for funds. | Obtain funding | *Three groups (horticulture, catering and welding) drafted business plans to get funding. The destitute were involved in developing the budget. Lack of communication between the Department of Social Services and the council delayed the* | *Only one group (horticulture) received funding for buying equipment but they were still waiting for seed. Waste paper collection group did not need funding.*<br>The right |

| | | | | | |
|---|---|---|---|---|---|
| | | | | *process.* | procedure for applying for funding could not be established. |
| Monitoring and support | Monitoring and evaluation | Monitoring and support through the process. | | | |
| Research and the documentation of experiences | | Develop own reference library.<br>Get more information on projects available. | | | |
| | Refresher training<br>Disengagement | | | | |

Based on the action sheets and monitoring information (Table 6.3) and the destitute rehabilitation guidelines it was evident that development workers required the following skills and knowledge in order to implement the steps of the destitute rehabilitation programme:

1. the ability to identify training needs using questionnaires and group discussions;
2. the ability to facilitate group formation;
3. the ability to facilitate meetings with the rehabilitation groups;
4. the ability to prepare a business plan and a team contract;
5. the ability to obtain resources;
6. business, technical (for example horticulture skills) and life-skills training;
7. the ability to evaluate the training;
8. the ability to network with funding organisations or organisations that can supply resources and with experts who possess specific technical knowledge;
9. the ability to support and counsel the rehabilitation groups through the process of destitute rehabilitation (discussed in more detail in the next subsection);
10. the ability to enable rehabilitation groups to perform viability assessments and to enter the market; and
11. the ability to do research and to document experiences.

The first four skills were applied by development workers but the last seven were not implemented. There was only one occasion where technical training was offered by development workers to the horticulture group, and business skills and group dynamics skills (number 6) to all the groups. In none of the cases training was translated into changed action.

In addition to these eleven skills, the capability to reflect on practices became evident during Workshop III, as a skill required for ensuring the implementation of guidelines and the improvement of practices:

> "We need to reflect regularly on what we have done and the plans we have made." (Catering group)

There was however no evidence that this reflection on practices was implemented but the importance of discussing practices was articulated again after Workshop IV (group discussion between group leaders from the different rehabilitation groups):

> "I have learnt that meeting with the officers to discuss our experiences can make us to think of ways to address the issues that other officers are experiencing. So this meeting is very important to share the experiences of different groups."

Reflective practices, as a lifelong learning skill, is thus recognised by development workers as a skill needed for improved destitute rehabilitation practices.

One of the above-mentioned skills required, namely the ability to support destitute is discussed in more detail in the next subsection (6.6.2.2[i]) since it became apparent as a crucial element of the rehabilitation process as required by the destitute.

**i) Support of destitute**

Support related to destitute rehabilitation includes emotional support and support to start projects which will enable the destitute to become economically self-sufficient and independent from government support. During the interviews conducted before the start of Phase I, the destitute indicated that they needed emotional support together with the material support they were already receiving. Emotional support includes regular visits by the development workers, the sharing of ideas and encouragement to become self-sufficient.

Sixty percent of the destitute interviewed indicated that they do not receive emotional support from development workers and that they do need emotional support by development workers. The destitute's need for emotional support is reflected in the following discussion between the researcher and a destitute person from the urban district:

> "Is there emotional support offered to you by the development workers?" (Researcher)
>
> "They used to provide it to me in the past, nowadays they are not longer providing it." (Destitute)
>
> "Why do you need emotional support?" (Researcher)
>
> "I feel happy when they visit me. They show love. There are a lot of issues that I often discuss with the extension workers. If they are with me I am able to raise my wishes, my desires as well as concerns." (Destitute)

The destitute's need for emotional support requires development workers to have the ability either to provide the emotional support themselves or to create a suitable support network for the destitute.

Support required by the destitute was also related to the implementation of the destitute rehabilitation programme. In terms of starting destitute rehabilitation projects a lack of support by development workers was a problem as reflected in the following statements made by the destitute:

> "They know they should help, but they never come." (Destitute from Catering group, before Workshop IV)
>
> "There is no support that we get from the government. We get no help from social workers." (Destitute from welding group, before Workshop IV)

These statements were made by those groups (catering, cleaning, horticulture and welding) that did not make progress and which dissolved at the end of Workshop IV. This failure was perceived to be partly caused by a lack of adequate support for the rehabilitation groups by development workers. The lack of support pertained to the lack of expertise (horticulture group), the lack of resources (welding and catering groups) and the lack of progress (catering, welding and cleaning groups) which caused the destitute to lose interest in the destitute rehabilitation projects.

#### *6.6.2.3 Summary of skills required by development workers*

Based on the literature review (Figure 3.8) and findings of this research (specifically Subsection 6.6.2), a skills development framework was developed which summarises the skills that development workers need when their goal is to rehabilitate the destitute as depicted in Figure 6.2. These skills do not represent the skills development workers do not have or were not trained in but rather the skills that development workers require when engaging in destitute rehabilitation.

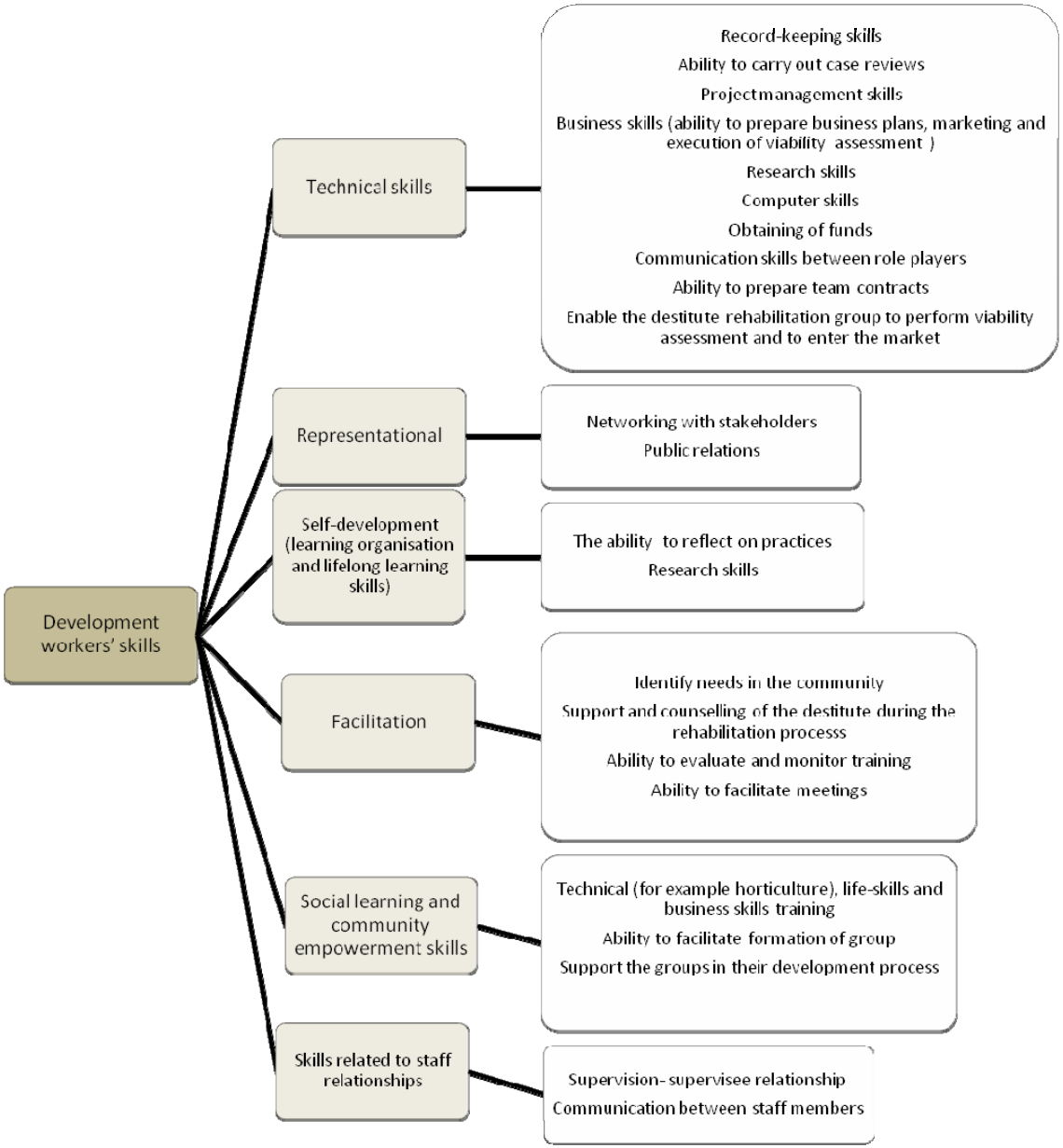



**Figure 6.2: Skills development framework for development workers, based on the expressed needs**

An additional skills category was added to the original framework in Figure 3.8, namely skills relating to staff relationships, including supervision-supervisee relationships and communication between staff members (Figure 6.2). Other skills that were added to the original framework (Figure 3.8) were related to technical skills, namely record-keeping skills, business skills and the ability to carry out case reviews.

The ability of the development workers to apply these skills (Figure 6.2) in their workplace is dependent on the training approach to which they have been exposed. Table 3.3 suggested five different teaching philosophies. The humanistic and radical teaching philosophies are the only two philosophies that promote lifelong learning skills. When development workers are exposed to these skills in a lifelong learning framework they will be able to apply and adjust the skills and knowledge learnt to their specific environment, as was suggested by one of the development workers:

> "I think we must first introduce staff to different models of record keeping and then they can come up with a modality. So we first give information and then everyone comes up with information." (Urban district, Workshop II)

The challenge is therefore to create an atmosphere within which development workers are encouraged to apply lifelong learning skills in the challenging environment within which they are implementing acquired skills and knowledge. This is further discussed in Subsection 7.2.7.

The next subsection (6.6.3) describes different community development approaches that were employed by development workers to implement the destitute rehabilitation guidelines.

### *6.6.3 Community development approaches*

The four different community development approaches include welfare, developmental social welfare, liberation and transformation approaches (see Subsection 2.3.2, Figure 2.5). The data collected during the first phase of the research revealed that the approaches most used by development workers were the welfare approach and the developmental social welfare (DSW) approach.

#### *6.6.3.1 The welfare approach*

The welfare approach was applied as a result of government policy that stipulated the supply of food rations and other benefits to the destitute (see Subsection 2.3.2.1). Development workers from all three councils disapproved the application of the welfare approach because

they felt that it cultivated dependency in the destitute, as is evident in the following statements (The rural district and semi-urban district, Workshop I):

> "It (the welfare approach) causes more and more destitute to be recruited." (Rural district, Workshop I)
>
> "Policies (such as the destitute policy) encourage dependency and kill the spirit of self-reliance." (Semi-urban district, Workshop I)
>
> "The destitute policy encourages too much dependency syndrome [sic]" (Urban district, welding group, focus group discussion before Workshop IV)

Forty percent of the destitute interviewed considered the cause of their destitution to be their lack of finances and hence their lack of material assets ultimately causing them to be dependent on government handouts. The destitute's desire for the continued receipt of handouts (welfare approach) while they are trained to apply specific skills (developmental social welfare approach), was evident in the interviews with the destitute.

As already mentioned in Subsection 6.4.2, 32 of the 36 destitute desired to be rehabilitated but ten destitute persons wanted to be dependent on handouts at the same time.

> "Are you happy to be registered?" (Researcher) "Yes!"
>
> "Why?" (Researcher) "There is nothing I can say."
>
> "Have you attended any programme in order to be rehabilitated?" (Researcher) "No!"
>
> "Would you like to take part in a rehabilitation programme?" (Researcher)" "Yes!"
>
> "What skills would you like to learn?" (Researcher) "I don't know."
>
> "Do you see yourself being a dependent for the rest of your life?" (Researcher)
>
> "I don't know."
>
> "Would you like to be dependent for the rest of your life?" (Researcher) "Yes!"

This discussion shows that the destitute person has accepted destitution as part of his/her identity and does not believe that his/her circumstances will ever change as discussed in Subsection 6.4.2. Hope and Timmel (1984), Freire (1970) and Lukes (2005) state that when individuals are exposed to the welfare approach, they develop a closed or a false

consciousness whereby they are suppressed, naive, dependent and do not have a critical understanding of the reality of their circumstances. This requires development workers to employ community development approaches whereby they encourage the destitute to reflect and analyse their circumstances and create knowledge through the transformation of experiences (Percy 2005). This implies that development workers need to challenge the destitute to enter into deep enquiry to question their own knowledge and distorted assumptions to develop a critical consciousness (Freire 1970). This should also be done by development workers as regards their own practices.

In order to accommodate the destitute, it is necessary to raise their awareness of the choices and benefits that are available to them, while at the same time increasing the control they have over their livelihoods and personal circumstances as encouraged by the DSW approach (Figure 2.5).

#### *6.6.3.2 Developmental social welfare approach*

The developmental social welfare (DSW) approach concentrates, according to Hope and Timmel (1984), mainly on the teaching of skills in circumstances where there is a lack of education, lack of resources that cause a low standard of living and a lack of opportunities. Figure 2.5 showed that application of the DSW approach is geared towards giving the destitute access to resources, capabilities and rights. It is thus just the start of the development process and subsequent approaches need to be applied if the goal is for the destitute to be independent and self-sufficient.

The development workers of all the three councils considered the DSW approach the most appropriate way of rehabilitating the destitute.

**i) Application of the DSW approach in the five destitute rehabilitation groups in the urban district**

The application of the DSW approach by development workers was evident in the practices development workers listed as needed for rehabilitation (during Workshop I). Some of the needs expressed were:

> "Provision of skills through workshops." (Rural district, Workshop I)
>
> "Equip clients with survival skills." (Rural district, Workshop I)
>
> "Provide information." (Semi-urban district, Workshop I)

The application of the DSW approach was also evident during the destitute rehabilitation process (Action Research Cycles I to IV) as development workers implement the rehabilitation programme as discussed below (Figure 6.3):

- those destitute who could be rehabilitated were identified:

  "We called five destitute for meeting in a group. We did a needs assessment and interview sessions. We told them there might be a workshop for which they might be called." (Semi-urban district, monitoring I)

- a workshop was conducted to introduce the destitute to the different rehabilitation projects that were available:

  "Only ten of them attended the group discussion. We managed to identify their training needs. We decided to group them according to their training needs." (Semi-urban district, monitoring I)

- five rehabilitation groups (catering, cleaning, horticulture, welding and waste paper collection) were formed;
- a group dynamics and a business skills workshop were conducted for all the groups, with the purpose of allowing the groups to develop team contracts and business plans;
- three of the groups (horticulture, welding, catering) developed a business plan;
- the destitute from the horticulture group were also introduced to technical skills training;
- the waste paper collection group did a viability assessment of their project; and
- the catering, welding and waste paper collection groups registered a company name.

After these actions were taken by development workers and the destitute, the waste paper collection group was the only rehabilitation project that continued but with only one member.

The cleaning group carried out a one-day job, but the group dissolved thereafter. The cleaning group failed due to a lack of progress, the limited time that development workers spent on destitute rehabilitation practices and a lack of resources:

> "I am not fine our group is failing. Only one of them is left. She will drop soon because of disappointment. It is because of the slow pace."
>
> "A vehicle for a certain job is necessary because to work with them they need to be picked from different places and we need transport. The project is failing

> because of lack of transport." (Monitoring session III, also confirmed group discussion after Workshop IV)

The destitute from the cleaning group described their experience as follows:

> "I am feeling discouraged because the group that we formed never made it." (Focus group discussion before Workshop IV)

This statement shows the destitute's despondency and powerlessness related to the failure of the rehabilitation project.

The catering, horticulture and welding groups all eventually failed. According to the development workers the catering and welding groups dissolved due to a lack of access to funding to finance the different projects and a lack of supervision. In addition to these reasons, the horticulture group failed due to a lack of support from agricultural experts to give technical advice. The horticulture group did start the project by cleaning the plots that were allocated to them, preparing the soil, planting vegetable seedlings and covering the plots with a protective net, but could not progress further for the reasons already given. The following statement reflects the experiences of development workers from the horticulture group:

> "I am disappointed because when we started the project I was told the guidelines of what to do in the project for it to progress well. Now the project is not going the way I expected. There are a lot of delays. There is no logistic support." (Focus group discussion before Workshop IV)

The destitute from the catering, horticulture and welding groups also ascribed the failure to a lack of funds and a lack of support from the development workers as reflected in the following statement:

> "We have gone to so many meetings about a year and two months ago. We were talking about the same thing and nothing has happened. We come here to talk with the government workers and nothing comes out. We were told that requests have been made and sent to people. Up to now nothing has been done. The group was formed, we attended workshops and that was all." (Destitute from welding group; focus group discussion before Workshop IV)

The above statement shows also (like the cleaning group) the destitute's feeling of powerlessness as a result of failure in progress of the rehabilitation project (welding) and that

the destitute were still entirely dependent on the development workers to be rehabilitated. This resulted in the destitute not taking action themselves when there was no progress.

Narayan (2002) states that there is a tendency among government agencies to hold public meetings without following it through to impact alterations to policies (in this case the destitute rehabilitation programme) or resource decisions. In the current research, the destitute experienced participation as a cost without any returns or benefits. This may lead to participation fatigue, according to Hastings et al. (1996), which was evident in the destitute from the urban district who took part in the destitute rehabilitation programme.

It also became evident that a top-down approach had been applied with the implementation of the developmental social welfare approach, since decisions are made for the clients as reflected in the following statements (The rural and semi-urban districts, Workshop I and monitoring I):

> "Open-your-mouth-and-eat approach is mostly used." (Semi-urban district, Workshop I)
>
> "Programmes and ideas are imposed on clients (the destitute)." (Rural district, Workshop I)
>
> "As social workers we tend to impose things (on the destitute), but (during the workshop) we find out that we can't impose things (on them)." (Semi-urban district, monitoring I)

As a result, the destitute's experiences of the training offered is that it was irrelevant, as is evident in the following statement:

> "They sometimes invite people to teach us about keeping the vegetables, which we do not have." (Urban district, horticulture destitute group, focus group discussion before Workshop IV)

This statement shows that development workers did not understand the needs and the expectations of the destitute. This suggests a lack of cohesion between the destitute and the development workers which caused the destitute to be passive recipients of development workers' decisions.

### ii) The destitute's expectations of the DSW approach

During the interviews with the destitute, they indicated specific requirements that are related to the developmental social welfare approach. The **first requirement** was that they want to be exposed to choices available to them:

> "What kind of skills would you like to learn?" (Researcher) "I can't think of anything. If there are people who teach skills I am willing to learn anything. If there is a choice, then I can choose what to learn." (Rural district, interview with destitute)

> "What kind of skill would you like to learn?" (Researcher) "I don't know what to say. I think those who are teaching skills can bring a variety of them and I will choose what to do and I think I can learn. Someone has to learn, for him to be successful, so I will learn."

> "Would you like to be involved in a rehabilitation programme?" (Researcher) "Yes madam! I will like to be involved so that I can realise what I can do and what I can't do." (Rural district, interview with destitute)

These quotations reflect that the destitute want to be given choices because they do not know what they are capable of doing. This poses a challenge for development workers to expose the destitute to a variety of options, before they engage them in a specific rehabilitation project. It was also indicated by development workers in Workshop I (urban district) and in the focus group discussion before Workshop IV that the destitute are unaware of their capabilities, which further emphasises the need to expose the destitute to the various available options.

The destitute acknowledged that they required someone to teach them these new skills. Therefore the **second requirement** was that they need to be guided through the process by a facilitator:

> "As long as there is a person who can guide me and is very patient I will be very interested if there is someone who teaches me the skills." (Urban district, interview with destitute)

> "I will be very interested (in destitute rehabilitation), because they will assist and guide me." (Semi-urban district, interview with destitute)

The above statements pose a challenge to the development workers to skilfully guide the destitute through the learning process in order to give them confidence and to encourage them to believe in themselves.

A **third requirement** was that the destitute want to build on the skills that they have:

> "My mother used to knit and I always observed her because I had interest." (Semi-urban district, interview with destitute)
>
> "What type of skills do you have?" (Researcher) "I really don't know, but when I was in school I was taught how to sew." (Rural district, interview with destitute)

These statements show that there are destitute people who have skills, although there was no evidence that they were applying these skills. This shows the importance of using and nurturing these skills, as a platform for development. It also indicates that the destitute need support in the application of their skills as revealed by the following statement:

> "I can only do painting or building but I need to be supervised." (Rural district, interview with destitute)

The **fourth requirement** was that the learning process needs to lead the destitute person to independence, which involves the destitute's desire to be self-sufficient:

> "I have a desire to be taught anything that can help me to earn a living." (Rural district, interview with destitute)
>
> "As long as there is something that can make me survive, then I can be independent." (Rural district, interview with destitute)

These requirements show that the destitute's desire is to be exposed to teaching opportunities and the different choices that exist, that will enable them to make a living and to better their situations.

It is therefore suggested that the level of readiness of the destitute needs to be taken into consideration by development workers. In some cases, the destitute require to be exposed to different choices, where development workers make the decisions at first as encouraged by the developmental social welfare approach. This does not suggest using a top-down decision-making process, but rather that development workers understand the destitute's level of readiness to be exposed to certain choices and community development approaches so that

they can be prepared for approaches that encourage interdependent decision-making as encouraged by the liberation approach.

#### *6.6.3.3 Transition of the application of DSW approach to participatory approaches as required by the destitute*

In theory (Figure 2.5), the ideal is to move away from the application of the DSW approach to the application of the liberation approach. There was no evidence that the liberation approach has been applied in any of the destitute rehabilitation groups from the urban district. The application of the liberation approach is evident when beneficiaries of the development process engage purposefully in the processes of consciousness-raising, critical thinking, reflective practices and dialogue in order to question their own perspectives and to question exploitive structures that require correction. The application of the liberation approach is expected to encourage collective decision-making so that participants can define their own goals and act upon these so that new operational structures, perspectives and interaction can be established (Freire 1970; Korten 1990; Chambers 1995; Zimmerman 1995; Kabeer 1999; Bartlett 2004).

An indication that the destitute wanted to be exposed to participatory approaches was related to the destitute sharing skills with other in the same position in order to help them become independent (self-sufficient) as reflected in the following statements:

> "I have knowledge. I wish I could share my skills with others but I cannot. I think being in the group will make me share what I have with them and they will share what they have with me. In the project we could learn from each other and help our families." (Urban district, destitute catering group, focus group discussion before Workshop IV)

> "I would like to be helped so that I become independent and later help others." (Urban district, destitute horticulture group, focus group discussion before Workshop IV)

> "As we progress as a group, we will recruit others who are experiencing the same problem. This will help them earn a living and reduce their poverty." (Urban district, destitute catering group, focus group discussion before Workshop IV)

The destitute's willingness to be involved in a participatory development process shows their openness to the liberation approach where dialogue, reflective practices, critical thinking and participation are encouraged (see Subsection 2.3.2.3).

The ideal picture of application of the community development approaches (welfare, developmental social welfare, liberation and transformation) is portrayed in Figure 2.5, while Figure 6.3 portrays the community development approaches as applied in this research.

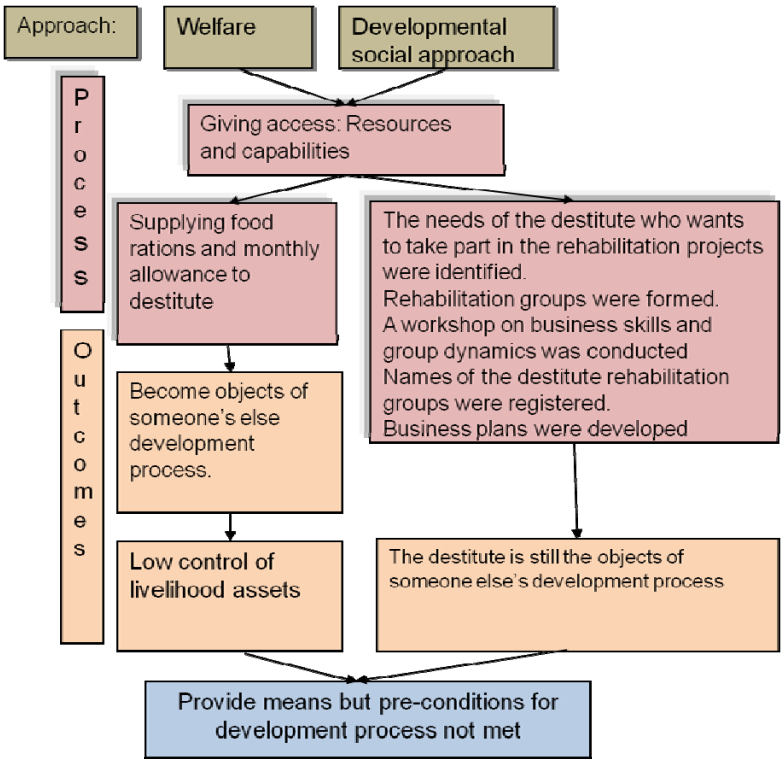



**Figure 6.3: Community development approaches as applied in this research by the development workers**

It is clear from Figure 6.3 that the liberation and transformation approaches were not applied. The question is however whether development workers are capable of leading the destitute to application of the liberation approach if they (development workers) are oppressed by the environment within which they are functioning without any attempts to influence their environment. Freire (1970) states that liberation and transformation are the result of a person's awareness of social, political and economic relations which affect such person by engaging in reflective practices to challenge relationships of oppression. A study by Szeman (2005) also reflects that when practitioners (development workers) fail to analyse the power systems to which they belong, it is unlikely that they will reach the goal of empowerment. There was no evidence of development workers or the destitute engaging in reflective practices by questioning the oppressive relationships.

Although the liberation approach was not applied, the development workers had initially planned to implement it after the principles of the approach had been introduced to them during Workshops II and III (Phase I). The development workers wanted to implement the

approach by helping the destitute to monitor the success of their own projects, to encourage peer training and to formulate support groups.

There were three incidents where the development workers acknowledged the importance of applying the liberation approach in terms of their own practices and to encourage the destitute to engage in reflective practices, as shown in the following statement:

> "We should give them the autonomy to establish their goals instead of thinking and doing things for them." (Urban district, Workshop IV)
>
> "We need to focus more time on thinking (reflection on the destitute rehabilitation programme)." (Urban district, cleaning group, focus group discussion before Workshop IV)
>
> "We also recommend that extension officers like we are here meet regularly to share ideas because we realise that our group is slow (in destitute rehabilitation) and some of the groups have gone through other stages. Maybe if we can meet regularly to share ideas that could help also." (Semi-urban district council, group discussion after Workshop IV)

Deriving from these statements, application of the liberation approach was linked to the following aspects by development workers:

- the destitute's ability to take autonomous decisions;
- the destitute's ability to plan their own actions;
- development workers' ability to learn from other development workers as regards destitute rehabilitation; and
- the application of reflective practices by development workers in terms of destitute rehabilitation.

There was however no evidence that these aspects were applied by the development workers during destitute rehabilitation even though development workers became aware of a better way of approaching the destitute than the way they had been using:

> "We need to use the process that you have used with us (during the workshop) when approaching the destitute so that they can take ownership." (Semi urban district, Monitoring session I)

This statement describes a process of reflection and critical thinking, which is a characteristic of the liberation approach.

All the development workers from the three councils were unaware of the principles of the liberation and transformation approaches (Subsection 2.3.2 and Figure 2.5), before the commencement of Phase I. However, the development workers did question whether their training approaches were adequate in terms of the training delivery methods and the duration of the training courses as evident in the following statements:

> "Educational curriculum doesn't influence someone to be independent." (Semi-urban district, Workshop I)
>
> "Training that is given to clients is too short to acquire skills." (Rural district, Workshop I)

The question that emerges from this is: what is the actual reason why development workers were not able to implement the developmental social welfare and liberation approaches?

Throughout Phase I, development workers linked failure to implement the destitute rehabilitation programme to external factors. Failure was therefore not attributed to their own practices, perspectives and attitudes. The main reason for this was that development workers felt that the operational behaviour environment within which they are functioning hinders them from changing their circumstances as reflected in the following statements:

> "Do you feel you can do something about it?" (Researcher)
>
> "We can do some but the government structure does not allow us to do anything." (Urban district, welding group, focus group discussion before Workshop IV)

These statements reveal the development workers' feelings of powerlessness as a result of the operational behaviour environment. This shows that development workers view the change of their situation as external to their sphere of influence and control, since they do not take responsibility for the situation. In order for liberation and transformation approaches to be applied successfully development workers need to reflect upon their own practices (as suggested by the liberation approach), perspectives and attitudes before they can challenge the destitute to do so.

### *6.6.4 Attitudes of development workers towards their own practices and towards themselves*

In the first workshop, development workers from the three different councils were asked to describe their attitudes towards themselves. Concepts that emerged in all three the districts included:

- development workers' ability to take initiative;
- development workers being motivated and cooperative;
- development workers' lack of job satisfaction (frustrated, isolated and bitter because of the system and therefore being less interested in their work); and
- development workers who feel underused (described as a result of not working in their field of specialisation).

Although development workers indicated that they took initiative, were motivated and cooperative, this was contradicted by their perspectives in the same workshop and during the course of Phase I where they described themselves as not motivated, having low self-esteem and lacking team-spirit, as reflected in the following statements:

> "I am frustrated due to lack of initiative by other group members, especially officers." (Urban district, focus group discussion before Workshop IV)
>
> "If we were given a chance to do what we enjoy, it will motivate us. One would say, 'even if there is less money at least I am doing what I like'." (Urban district, focus group discussion before Workshop IV)

It became evident that, although the development workers considered themselves as taking initiative and being motivated and cooperative, the operational behaviour environment influenced those attributes. Subsection 6.3 described in detail the operational behaviour environment as experienced by the development workers.

The focus group discussion before Workshop IV confirmed these views. The development workers described themselves as isolated, angry, frustrated and unmotivated.

In order to understand the development workers' attitudes as described above, the four components related to an individual's attitude as identified in the literature review (Reber 1995) will be applied (Table 6.4). This includes the following components: cognitive (beliefs and perspectives), affective (emotions and feelings), evaluative (positive or negative judgement based on values), and conative (tendency to act in a certain way). These four

components were used as a basis to understand the attitudes of the development workers and the effect their attitudes have on development workers' actions (Table 6.4). The impressions depicted in Table 6.4 are a result of the researcher's reflections of her experiences working with the development workers and numerous conversations with development workers during Phase I. It is acknowledged that these impression may contain an element of subjectivity.

**Table 6.4: Description of the components of attitudes in relation to the development workers**

| Cognitive | Affection | Evaluative | Conative |
|---|---|---|---|
| The situation with destitute rehabilitation cannot change because of the operational behaviour environment. | Development workers feel:<br>• frustrated;<br>• passive; and<br>• disillusioned. | Development workers' success in destitute rehabilitation is dependent on their operational behaviour environment. | Development workers do not spend enough time with the destitute.<br>Destitute rehabilitation is not treated as a priority. |
| The operational functioning structure of the Department of Social and Community Development causes development workers to be underutilised. | Development workers feel:<br>• frustrated;<br>• unmotivated;<br>• that the work is monotonous; and<br>• isolated. | Development workers' training experience, skills and capabilities are not valued. | Low productivity.<br>Unable to achieve set goals.<br>No innovation and creativity is employed in work execution. |
| Further study is a necessity for work satisfaction because it leads to promotion and higher income. | Development workers feel:<br>• frustrated;<br>• angry; and<br>• unmotivated. | The progression and career furtherance of development workers are irrelevant. | Poor work performance.<br>No attempt is made to influence the challenging work environment. |
| Payment and workload do not correlate.<br>There is no appreciation for workload. | Development workers feel:<br>• demoralised;<br>• bitter; and<br>• overworked. | Development workers link their salaries to how much they are appreciated and if it (salary) is not adequate, job satisfaction is affected. | Destitute rehabilitation is just a job and no priority is given to it. |
| The lack of resources makes it impossible to work. | Development workers feel hopeless. | The operational behaviour environment controls development efforts and if the environment is not adequate the delivery outcome will be affected. | Poor service delivery.<br>Development workers are not pro-active in looking for alternative ways to address the issues of lack of resources. |
| The destitute rehabilitation programme is considered to be time-consuming and not a priority. | Development workers feel:<br>• frustrated; and<br>• overworked. | Destitute rehabilitation takes second place to other tasks and will therefore not be given ample attention. | No progress in the destitute rehabilitation process. |

Table 6.4 shows that the development workers' beliefs and perspectives evoked feelings (emotions), which led to the making of associated decisions, which in turn lead to action. In all cases where negative feelings were evoked, such feelings were connected to beliefs and perspectives relating to development workers' operational behaviour environment.

Conger and Kanungo (1988) justify development workers' negative attitude as a result of jobs that provide little challenge and meaning and employees who are experiencing work overload and role ambiguity, since it may cause lowering of their self-efficacy and feelings of powerlessness. A lack of reward for the competence employees offer may also lead to feelings of powerlessness.

However, the question still remains: What role can development workers play in influencing their operational behaviour environment? The beliefs and feeling of the development workers as well as the action they took as a result show that they consider their sphere of influence and control as external to themselves, where their efficiency and effectiveness is dependent on the external operational environment. According to Padaki (2002), the attitudes of individuals form part of the culture of the organisation, and such attitudes affect the organisation's service delivery and the way this service delivery is perceived by its clients. This poses a challenge to the S&CD council management and policy-makers to use creative methods (Figure 3.6) that will encourage development workers to question their attitude of powerlessness in order to influence the environment within which destitute rehabilitation is implemented.

## 6.7 Summary

Different concepts emerged in this chapter, as based on Phase I. These concepts were linked to the theoretical framework (Figure 4.6, Chapter 4). The relationship between the four main themes (used as the framework for data analysis) and the theoretical framework (Figure 4.6) is depicted in Table 6.1 (extracts of the theoretical framework). Figure 6.4 denotes the data that was generated in Phase I, according to the four themes, and related to the theoretical framework of this research.

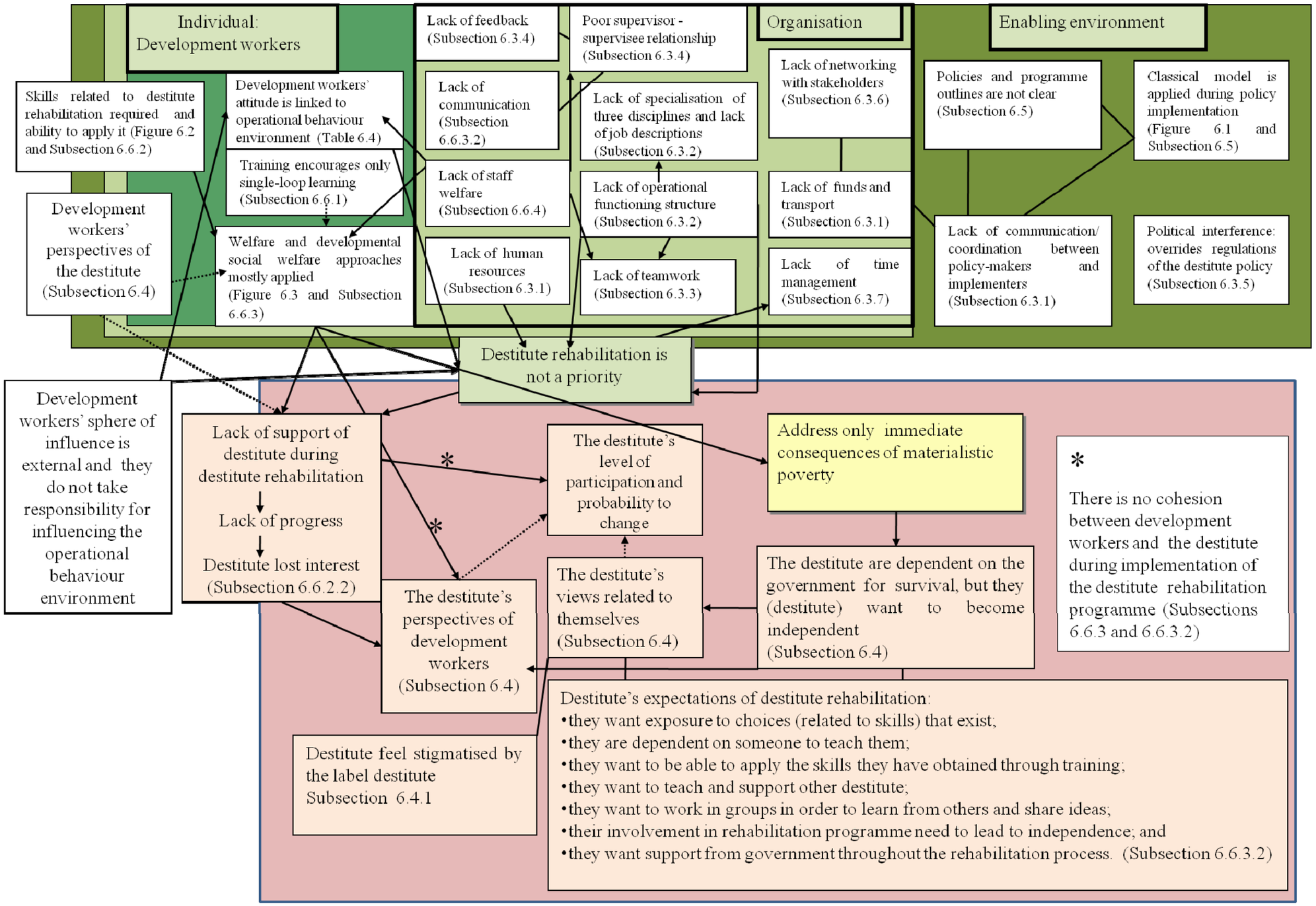



**Figure 6.4: Findings that emerged during phase I in relation to the theoretical framework**

The development workers' practices, perspectives and experiences relating to general staff practices and destitute rehabilitation, revealed the nature of the operational behaviour environment within which development workers function. The development workers highlighted several reasons why their destitute rehabilitation practices are affected by their operational behaviour environment. But it became evident that development workers are seeing themselves as powerless to influence the behavioural aspects of the operational environment which they do not control.

The data also revealed that the community development approaches applied by development workers were not adequate to lead the destitute to independence. As a result, only the material needs of the destitute were met and capability poverty could not be addressed. The development workers described the community development approaches used by them as a product of the support they received from the operational behaviour environment. The approaches they used were also the result of their attitudes towards the rehabilitation programme and the destitute. The use of inadequate community development approaches may cause the reinforcement of the destitute's poverty identity where they consider themselves as dependent on support from government.

The following chapter focusses on the development of a conceptual framework (Sub-objective 6), by taking into consideration the concepts that emerged in this chapter, as well as the experiences of the key role players (Sub-objective 4) which were revealed during Phase III. Critical system heuristics is used as part of the process to develop the conceptual framework.

*Chapter 7*

# DISCUSSION OF RESULTS PART 2: DEVELOPMENT OF A CONCEPTUAL FRAMEWORK FOR CAPACITY ENHANCEMENT OF DEVELOPMENT WORKERS USING A SYSTEMS APPROACH

## 7.1 Introduction

The previous chapter focussed on the development workers' perspectives and experiences relating to destitute rehabilitation. The findings as described in Chapter 6 served as the basis to develop concepts relating to the capacity enhancement of development workers. The destitute's views and experiences of destitution and of the destitute rehabilitation process were linked to the developed concepts (Sub-objective 3).

The first part of this chapter uses the data of Phase III of this research, which includes the experiences of development workers and the destitute as well as other key role players to achieve Sub-objective 4. These other role players are the DSS (policy-makers), the DLGSM (responsible for human resources in terms of recruitment, staff welfare and training), the S&CD council management from the urban, semi-urban and rural districts, and village and ward development committees (VDCs and WDCs).

The second part of this chapter focusses on the development of a conceptual framework (Sub-objective 6). This is done through the development of critical system heuristics (CSH) outlines, which were based on the interpretation of data from Chapters 6 and 7. Data related to Phase IV are also discussed in the second part of this chapter. Phase IV data is a result of the dialogue processes with the different role players to challenge the content of the CSH outlines.

As part of presenting the data in this chapter, the following tags were identified to refer to the person/instance who made the statements to illustrate a specific point:

- Urban, Semi-urban or Rural district, destitute: see Subsection 5.3.1.3 and Appendix 9c;

- Urban, Semi-urban or Rural district, development workers: see Subsection 5.3.2.4 and Appendix 9c;
- Department of Social Services: see Subsection 5.3.3.1 and Appendix 8c;
- Urban district, council management, focus group discussion I: see Subsection 5.3.2.6 and Appendix 8a;
- Urban district, council management, focus group discussion II: see Subsection 5.3.2.6 and Appendix 8b;
- Semi-urban or Rural district, council management, interview: see Subsection 5.3.2.6 and Appendix 9c;
- Urban district, ward development committee: see Subsection 5.3.2.7 and Appendix 9c; and
- Department of Local Government Service Management: see Subsection 5.3.3.2 and Appendix 9a.

## 7.2 Assessment of the data generated in Phase III

It became evident in Chapter 6 (see Subsection 6.3) that development workers' practices and attitudes towards their work were directly influenced by their behavioural operational environment. Development workers' perspectives (Subsection 6.4) of the destitute and unclear destitute rehabilitation guidelines (Subsection 6.5) were identified as additional factors that influence the practices (Subsection 6.6) of development workers.

The aim of performing Phase III was to understand the system within which development workers are functioning and how this affects destitute rehabilitation. The different role players who were identified during Phase I, in addition to the development workers and the destitute included:

- the Department of Local Government Service Management (DLGSM);
- the Department of Social Services (DSS);
- village and ward development committees (VDCs and WDCs) and councillors; and
- the Department of Social and Community Development (S&CD) council management from the urban, semi-urban and rural councils.

Ten months after Workshop IV (Phase I), focus group discussions were conducted with officers from the DSS and S&CD council management from the urban district (Phase III). Six months later, focus group discussions were conducted with development workers, the

destitute and S&CD council management from the urban, semi-urban and rural councils as well as with the WDC from the urban council, VDCs from the semi-urban and rural councils, councillors from the urban district and officers from the DLGSM.

Issues which emerged during Phase I (Chapter 6) included:

- the operational behavioural environment:
    - allocation of resources (finances, infrastructure and human resources);
    - operational functioning structure;
    - teamwork;
    - effective supervision;
    - political interference;
    - networking with stakeholders; and
    - time management;
- development workers' perspectives of the destitute;
- destitute rehabilitation guidelines;
- community development practices;
    - training;
    - development workers' skills;
    - attitudes of development workers; and
    - community development approaches applied.

An issue that had been presented in Phase I but which did not emerge in Phase III was the specific reference to teamwork. Teamwork was only mentioned in Phase III with regard to the stakeholders, but not specifically with regard to the development workers, as was the case in Phase I.

The subsequent subsections (7.2.1–7.2.9) give an account of the new insight that has been development through the application of Phase III, based on the discussion outline used in Chapter 6.

### *7.2.1 Resources related to infrastructure, finances and human resources*

It became evident in Phase I (Subsection 6.3.1) that development workers' ability to implement the destitute rehabilitation programme is impeded by a lack of resources related to finances, infrastructure and human resources. Table 7.1 depicts a comparison between data in this regard that emerged in Phases I and data that emerged in Phase III.

**Table 7.1: Data related to resources as depicted in Phases I and III**

| Type of resource | Findings of Phase I related to resources (Subsection 6.3.1) | Findings of Phase III related to resources |
|---|---|---|
| Related to infrastructure | Solution to the lack of resources is described by development workers as beyond their control and influence.<br>The lack of resources causes practices to be ineffective. | A lack of land was identified as an impediment to engage in projects related to horticulture. |
| Finances:<br>access to funds | Success of the programme is dependent on availability of funds.<br>Lack of funds is caused by a lack of appropriate communication procedures. | A lack of accessibility of funds was confirmed.<br>Availability of funds was acknowledged by the DSS.<br>Inappropriate communication procedures to access funds were confirmed. |
| Human resources | Lack of human resources leads to:<br>• work overload; and<br>• an inability to achieve quality of work.<br>Development workers fear unfair transfers. | According to the destitute, a lack of human resources caused:<br>• a lack of support to the destitute; and<br>• unproductivity of development workers.<br>Transfer of development workers caused development workers to be unable to start and sustain projects. |

In terms of resources related to **infrastructure**, the lack of land was specifically mentioned in Phase III by development workers and the destitute as a hindrance in the rehabilitation process. This was not mentioned in Phase I. It became evident that this issue is related to a lack of networking by the development workers with the Ministry of Lands, Housing and Environment, but development workers described the lack of land as the problem or the need. A solution to this could be found if development workers communicated with stakeholders like the Ministry of Lands, Housing and Environment during their destitute rehabilitation practices.

As reflected in Table 7.1, the **lack of funds** for destitute rehabilitation was confirmed in Phase III as a problem for destitute rehabilitation (Subsection 6.3.1). However, the availability of funding was described by the DSS as sufficient, as reflected by the following statement:

> "There is enough money for destitute rehabilitation but for the last four years S&CD councils have not used it." (Department of Social Services)

It was confirmed that the issue was not the availability of funds but rather the accessibility of funds due to a lack of coordination between the different role players. The coordination issues identified were related to inadequate communication procedures between the DSS and S&CD

councils, which hindered the process of releasing funds at the required times as reflected by the following statement:

> "There is a problem with how the destitute rehabilitation programme is coordinated and I do not know where to get feedback from when we encounter problems. It is like passing a buck from one to another when we need feedback. (Urban district, council management, focus group discussion II)"

This statement shows that a lack of coordination is due to an absence of adequate operational functioning structures in order to enable effective functioning of the funding process. It thus became evident in Phase III that coordination between the DSS and the S&CD and between the DSS and DLGSM was unsupportive of the rehabilitation practices, which may have influenced the success of the rehabilitation programme. This strengthens the appeal to have communication, feedback and coordination procedures in place between the DLGSM, the DSS and the S&CD councils as suggested in Subsection 6.1.3 (based on findings of Phase I) and outlined in Subsection 7.3.2.4 and Figure 7.7c.

It was confirmed in Phase III that the development workers are not able to implement the destitute rehabilitation programme if they do not have funds and other resources available to implement the destitute rehabilitation programme. Freire (1970) and Hoffman (1978) both argue that individuals can be empowered despite limited resources by encouraging such individuals to take responsibility for their own development process and by so doing seeing their sphere of influence as within themselves (internal) instead of depending on outside sources (external).

There was in Phase III still no indication that development workers questioned their practices so as to understand deeper-lying causes of why funds are not easily available in order to develop strategies for implementing the destitute rehabilitation programme (Table 7.1). The researcher recognises that the questions asked by her did not lead the development workers to deeper understanding of the funding-related problems. It is thus necessary for development workers to be exposed to questioning and reflective practices by a facilitator who has a prolonged and trust-based relationship with the development workers. This will enable the development workers to develop new strategies to influence the problem of insufficient funding.

The lack of **human resources** was described in Phase I (Subsection 6.3.1) as an impediment to development workers' work quality and work overload (Table 7.1). The effect that the

shortage of staff (human resources) has on the practices of development workers, as experienced by the destitute during Phase III, is reflected in the following statements:

> "There are problems because of lack of manpower. It takes time to get feedback if you ask something. (Semi-urban district, destitute)"
>
> "They are helpful, they support us but they are in small numbers that makes it unproductive. (Semi-urban district, destitute)"

The destitute thus linked the lack of human resources to the lack of feedback received from the development workers and to the low productivity of the development workers because of a shortage of staff.

It was confirmed by the DLGSM that development workers are responsible for serving large communities, which is a limiting factor in the provision of high quality work. This may result in development workers being overworked. Even though the appointment of development workers is done at council level, the decision remains external to the development workers' work environment, since they do not control the appointment of new staff, but are affected by a shortage of staff.

The issue of the transfer of development workers to other districts emerged in Phase I. This highlighted the development workers' personal fears of being transferred. The effect of transfers on the destitute themselves was evident in Phase III:

> "Some time ago officers came to my home to talk about a vegetable project. Officers were transferred which causes me not to hear anything about it again." (Urban district, destitute)
>
> "(The catering group failed because) most of the officers involved in the catering group were transferred to other councils." (Urban district, development workers)

In Phase III, the destitute and the development workers thus linked transfer of officers to the inability to start and sustain projects.

It was confirmed by the council management (S&CD, urban district) that officers are transferred to other councils regardless of whether they are engaged in a project at the time, as reflected in the following statement:

> "There is one other problem, the frequent transfer of officers. It makes that there is no continuity or ownership (of the destitute rehabilitation projects)." (Urban district, council management, focus group discussion I)

It became clear that the DLGSM could influence the problem of frequent transfers and that the council management could contest transfers if such transfers are likely to cause the interruption or suspension of projects. There are also specific strategies applied by the DLGSM to minimise transfers in these cases, such as:

- transfers only take place when they are necessary, for example, in the case of a promotion or a valid request by the development worker;
- transfers are only made at the beginning of the year; and
- cancellation of the rule that made it compulsory for employees to be transferred after three years of service in the same council.

Council management has the authority to oppose transfers that are approved by DLGSM, especially in cases where projects would be affected if development workers were transferred. Human resources are to a large extent controlled by the DLGSM, however, the development workers are able to request a transfer but they are also able to motivate why they should not be transferred. By doing so, they can influence human resource decisions.

Data of this research related to human resources (Phase III) confirmed that the lack of staff is an impediment for destitute rehabilitation and it described the control measures that are in place in terms of unnecessary staff transfers (Table 7.1).

### *7.2.2 Operational functioning*

In Phase I, the following problems regarding the operational functioning structure were identified by the development workers as discussed in Subsection 6.3.2 and reiterated in Table 7.2:

- the operational functioning structure is ambiguous and does not enable development workers to know what their exact roles are;
- there is no clear differentiation between the community development, social welfare and home economics extension officers in terms of the roles they are playing in the destitute rehabilitation process; and
- destitute rehabilitation is not regarded a high impact area.

These views were again confirmed in Phase III by development workers, the DSS and council management (S&CD) as impediments to the destitute rehabilitation process.

Table 7.2 shows that the DSS acknowledged the necessity to change the operational functioning structure, since it has a direct effect on the destitute rehabilitation activities. Even though each S&CD council is assigned a destitute rehabilitation coordinator, these coordinators are not solely responsible for rehabilitation and have to coordinate and support the programme in conjunction with all their other duties. As this arrangement is often detrimental to the rehabilitation programme, it is concluded that a coordinator is needed who will focus solely on the rehabilitation of the destitute (Table 7.2).

**Table 7.2: Experiences relating to the operational functioning structure in Phase III**

| **Phase I findings related to operational functioning structure** | **Phase III findings** | | | |
|---|---|---|---|---|
| | **DLGSM** | **DSS** | **S&CD council management** | **Development workers** |
| Problems related to the operational functioning structure is that:<br>• it is ambiguous;<br>• there is a lack of differentiation between the three disciplines; and<br>• destitute rehabilitation is not considered a high impact area. | The change of the operational functioning structure can be initiated by the DLGSM, after all councils have been consulted. | The importance of investing in altering the operational functioning structure and environment within which destitute rehabilitation is taking place was acknowledged.<br>Destitute rehabilitation was described as dependent on the operational functioning structure and the environment within which it is implemented. | The lack of an appropriate operational functioning structure leads to situations where:<br>• the councils are not prepared for implementation of the rehabilitation guidelines;<br>• none of the three disciplines take responsibility for destitute rehabilitation; and<br>• rehabilitation is considered part of the councils' general duties, since there is no person who focusses solely on rehabilitation. | The need to have a coordinator for destitute rehabilitation that focusses solely on destitute rehabilitation was expressed. |

As reflected in Table 7.2, it became evident during the focus group discussion with the DLGSM that they (DLGSM) has the ability to influence the operational functioning structure. Changes to the structure can however only be implemented by the DLGSM after the councils (Department of S&CD) have been consulted.

These changes could include:

- assigning specific destitute rehabilitation tasks to each discipline according to its field of specialisation;
- assigning a destitute rehabilitation coordinator who is solely responsible for destitute rehabilitation; and
- changing destitute rehabilitation to a high impact status in order for specific resources (finances, transport and staff) to be allocated to it (Subsection 6.3.2).

In Subsection 6.3.4, the researcher argued that skilled supervision could guide development workers in the absence of job descriptions by leading the development workers through the process of destitute rehabilitation and enabling them to set broad goals. The authenticity of this argument is confirmed by the DLGSM since they consider the lack of operational functioning structure to be a result of a lack of appropriate supervision. This is however contrary to the development workers' views that the lack of supervision was caused by a lack of operational functioning structure as reflected in the following statement:

> "How do you feel about supervision in the rehabilitation process?" (Researcher) "There is a problem with supervision and teamwork but the problem is in our (operational functioning) structure. We cannot plan because you need to attend the whole time to emergencies (related to other general duties). The structure does not encourage supervision." (Urban district, council management, focus group discussion I)

Reflection on this statement caused the researcher to ask whether the inadequate operational functioning structure is the real cause for the lack of supervision, the lack of planning and emergencies. The inadequate operational functioning structure seems to be a symptom at operational level but the real problem is that development workers and supervisors do not have a common purpose that will enable them to establish priorities.

The S&CD council management and development workers thus regard the problem of inadequate operational functioning to be a problem external to their sphere of influence and control. The DLGSM however deems it a situation that can be influenced by the supervisors of development workers.

### *7.2.3 Interference by politicians*

Interference by politicians, as described in Subsection 6.3.5 was confirmed by the Department of Social Services as an impediment to destitute rehabilitation as reflected in the following statement:

> "The poor and disabled are kept in the dark so that they can be used for personal gain (destitute rehabilitation is used as a campaign tool). Politicians mislead people." (Department of Social Services)

This statement was contested by the councillors (urban district) who claimed that the destitute are only registered when they qualify to be registered. This argument was not followed up with councillors from the rural and semi-urban districts due to their unavailability.

### *7.2.4 Networking with stakeholders*

Networking with stakeholders (as discussed in Subsection 6.3.6) was confirmed by development workers to be an important component of the destitute rehabilitation process. It became evident that there is a lack of cooperation between specific departments, like the Ministry of Lands, Housing and Environment, the Ministry of Agriculture, the Ministry of Trade and Industry and the NGOs who can play a role in destitute rehabilitation. Networking with stakeholders was sought for soliciting funds and other resources (like transport), for expert advice on destitute rehabilitation and training of the destitute rehabilitation groups. This shows again (Subsection 6.3.6) that the challenge is not related to the identification of the stakeholders but is rather to seek the inter-relationships in the destitute rehabilitation system and then to build relationships between the stakeholders.

### *7.2.5 Comparing the perspectives of the key role players in the destitute rehabilitation process to the destitute's perspectives of themselves*

Development workers' perspectives of the destitute, as emerged in Phase I, are outlined in Subsection 6.4. These perspectives of development workers are related to:

- negative attributes of the destitute caused by their state of oppression;
- the destitute's probability to be rehabilitated; and
- ownership and responsibility of development workers in destitute rehabilitation.

In Phase III, the role players' (DSS, S&CD council management, DLGSM and the VDCs/WDCs) perspectives of the destitute revealed that they view the destitute as dependent on handouts, as is the case with the development workers (Subsection 6.4.2), as reflected by the following statements:

> "Rehabilitation is difficult if the destitute want to stay dependent. They still have a choice to either become independent or stay dependent. They do not want to be independent." (Department of Social Services)
>
> "The destitute are reluctant to change." (Urban district, council management, focus group discussion II)

> "They (the destitute) are given everything. To change their mindset from receiving to doing is not easy. They see themselves as victims of the system. It is very difficult for them to commit themselves to rehabilitation". (Urban district, council management, focus group discussion II)

It appeared that the perspectives of the development workers, council management and policy-makers were used to hide these role players' own responsibility or possibly, the fact that they were not aware of their own responsibility in these matters. The issue of the destitute wanting to remain dependent rather than becoming independent, was in all cases the first reason given by development workers when they were asked to consider the reason for failure of the rehabilitation programmes. It was only by probing deeper that policy-makers and council management were able to identify other reasons for failure of the rehabilitation programmes. For example, during a focus group discussion with development workers (semi-urban district), failure of one of the projects (horticulture project) was considered to be caused by the destitute who did not desire to be rehabilitated. A follow-up of the issue showed that the cause was in fact due to:

- a lack of support from development workers and outside experts; and
- a water shortage.

The fact that the destitute rehabilitation groups disbanded after problems arose within the group suggests that there was a lack of cohesion between the development workers and the destitute during the implementation of the destitute rehabilitation programme. The reason why there was a lack of cohesion was that the two parties did not find common ways of solving problems that arose. Instead, they allowed the rehabilitation process to stop when challenges, for which they could not find agreeable solutions, were experienced during destitute rehabilitation. This problem poses a challenge to the development workers to see the destitute as partners in the rehabilitation process, with the capacity to effectively contribute to problem-solving. In order for this to be done, it is necessary that development workers:

- question their own practices and perspectives of the destitute rehabilitation process that cause them to stop when a problem confronts them so that they will not be powerless when they are facing obstacles; and
- cease seeing themselves and the destitute as victims (the disadvantaged) of the problems experienced during the destitute rehabilitation process.

In terms of the destitute's perspectives, it became evident that the destitute do not feel stigmatised by the development workers' practices even though the destitute from the urban district indicated that they feel neglected by the development workers, because of a lack of support (further discussed in Subsection 7.2.8). The destitute also indicated that they feel stigmatised and marginalised because people (in the wider community) manipulate them and discriminate against them.

The S&CD council management stated that the destitute might be stigmatised by the term *destitute rehabilitation* as reflected in the following statement:

> "We should make sure that policies are not labelling people. The word 'destitute rehabilitation' puts people immediately in a category." (Urban district, council management, focus group discussion I)

It was twice expressed by the destitute that they feel stigmatised by the term *destitute* (also Subsection 6.4.1). The effect of stigmatisation on the destitute, as caused by the destitute policy and implementation of the policy by the development workers, was not established.

However, the DSS indicated that the term *destitute* causes the communities to not support the destitute rehabilitation programme, because they (the community) presume that the quality of products will be insufficient. It was suggested by the development workers that the destitute rehabilitation programme should be made part of the mainstream poverty reduction projects rather than singling out destitute rehabilitation programmes.

### *7.2.6 Destitute rehabilitation programme guidelines*

Findings related to Phase I (Subsection 6.5) revealed that development workers experience the destitute rehabilitation guidelines as not clear and that they do not know what is expected of them in terms of carrying out destitute rehabilitation. In Phase III, the guidelines were described by policy-makers (the DSS) as "good on paper", but they (the DSS) recognised that the guidelines are not implemented as the policy-makers expect them to be. The policies and programmes are thus considered to be good in theory, but the fact remains that they are not implemented.

It also became evident in Phase I that the classical policy-implementation model is used by the policy-makers, while it was suggested by development workers in Phase III that the integrationist model should be implemented (Subsection 3.3.1.1[i] and Figure 3.2) as reflected in the following statement:

> "DSS should tell us what to do if things are not working; they should come and help us to make adjustments." (Rural district, development workers)

The integrationist model suggests a convergence of the roles of policy implementers and policy-makers so that they develop strategies concurrently when implementing policies in a challenging environment.

The convergence of roles of the policy implementers (development workers) and policy-makers is however not specifically endorsed in the Operating Manual of the Destitute Policy (Ministry of Local Government 2002c). The Operating Manual recommends top-down actions which are related to the classical policy-implementation model, such as:

- the provision of professional guidance to S&CD councils;
- the provision of short-term training support; and
- the monitoring of implementation to ensure continuation of professional standards.

It was suggested by development workers and S&CD council management that the application of the integrationist model includes development workers, the destitute and the DSS to plan together for changes to be made to the destitute rehabilitation guidelines as well as implementation actions during the implementation of the guidelines.

However, the following factors relating to the destitute rehabilitation programme and its implementation were identified as potential obstacles to the success of applying the integrationist model:

- limited monitoring during the implementation of the destitute rehabilitation guidelines by policy-makers due to a shortage of staff at the DSS;
- lack of support by the DSS to development workers (S&CD) during the process of rehabilitation;

> "They don't guide us. It seems as if they don't have enough skills on policies themselves. We have problems with rehabilitation but no guidance come from DSS. There is nothing they are doing to help us." (Urban district, council management, focus group discussion II)

> "The policy is not achieving what it is supposed to. It is not well thought through. I don't know anyone that exits the programme because of the policy (destitute rehabilitation guidelines). The guidelines only provide the points/possibilities to

exit the programme but it does not provide the means to do it." (Urban district, council management, focus group discussion II)

- lack of clarity about the destitute rehabilitation guidelines and the guidelines also do not provide adequate guidance for rehabilitation (also Subsection 6.5);

  "Everyone is doing their own thing; it is not clear what is expected of us." (Urban district, council management, focus group discussion II)

- lack of consideration of the resources needed to implement new policies and development workers' other responsibilities by the DSS, when they (DSS) plan to implement new policies as reflected in the following statement:

  "S&CD is a dumping ground for new policies because new policies are dumped to S&CD. They do not take our other responsibilities and resources in mind." (Urban district, council management, focus group discussion II)

- inadequate preparation of and training of development workers for implementing the destitute rehabilitation guidelines (Urban district, council management, focus group discussion II):

  "We are supposed to be the experts (in destitute rehabilitation), but do not have the knowledge and skills (related to destitute rehabilitation). We are only provided the documents. We haven't received any training which forces us to only facilitate. The same understanding is necessary to understand what the policy is expecting of us. And also, how do you teach if you do not know what to teach? We are not empowered but we need to empower."

The first described obstacle, namely limited staff in the Department of Social Services to do the monitoring of destitute rehabilitation practices may impede the implementation of the integrationist policy-implementation model. The other four described obstacles justify the application of this model:

- for improved support of development workers by policy-makers;
- to provide clarity for destitute rehabilitation programme by policy-makers;
- for development workers to gain increased understanding of all activities within which they are involved; and

- for policy-makers to identify development workers' training shortages and to create ways for preparing and equipping development workers.

Table 7.3 summarises proposed ways of overcoming the different potential obstacles when implementing the destitute rehabilitation programme according to the integrationist policy-implementation model.

**Table 7.3: Suggested ways of overcoming the potential obstacles related to implementation of the destitute rehabilitation programme**

| Potential obstacles to destitute rehabilitation | Suggested ways of overcoming the potential obstacles (based on findings) | Where discussed |
|---|---|---|
| Limited DSS staff to monitor the implementation of the destitute rehabilitation programme. | Apply the integrationist model with a few development workers to understand how to initiate and monitor the destitute rehabilitation process. This will address the issue of limited DSS staff. | Subsection 7.3.1.1 |
| Limited support provided to development workers by DSS. Destitute rehabilitation guidelines are unclear. | Implementation of the integrationist policy implementation so that:<br>• DSS supports development workers during the destitute rehabilitation process; and<br>• DSS and development workers together gain an understanding of how the destitute rehabilitation guidelines should be implemented. | Subsection 6.5<br>Subsection 7.2.6 |
| Inadequate resources and staff. | Change destitute rehabilitation to a high impact area.<br>Apply communication procedures that will enable the different destitute rehabilitation groups to have increased access to the available funding.<br>Enable development workers to question their state of dependency on funds and to create new ways of dealing with the absence of funding. | Subsection 6.3.1.4<br>Subsection 6.3.2<br>Subsection 7.2.1<br>Subsection 7.2.2 |
| Development workers not adequately trained and prepared. | Tertiary education and in-service training need to prepare development workers to:<br>• implement knowledge and skills in a challenging work environment;<br>• encourage development workers to engage in lifelong learning practices;<br>• apply the acquired knowledge and skills in practice; and<br>• collaborate with stakeholders that can provide expert advice. | Subsection 7.2.7 |

The preceding discussion confirmed the necessity to use the integrationist model rather than the classical model of policy implementation (Subsection 3.3.1.1[i] and Figure 3.2). Policy implementation, according to the integrationist policy implementation model, entails that policy-makers do not merely develop policies and adjust them after monitoring, but also:

- play an active role in the implementation of the guidelines and to support the development workers throughout the rehabilitation process; and
- make adjustments to the destitute rehabilitation guidelines during the implementation process and to support the development workers in making the guidelines context-specific by developing strategies.

### *7.2.7 Training and skills required for development workers*

Data in connection with training and skills required for development workers to implement the destitute rehabilitation guidelines, as identified in Phase I (Subsection 6.6.1 and 6.6.2) as well as new data obtained during Phase III are outlined in Table 7.4.

**Table 7.4: Data obtained during Phases I and III in terms of training and skills required for development workers**

| Phase I data | Phase III data |
|---|---|
| Different avenues were identified to address development workers' training needs, like:<br>• tertiary training;<br>• in-house training; and<br>• conscientisation workshops (Subsection 6.6.1.1). | Further training in terms of tertiary training cannot always be achieved (according to the DLGSM) because:<br>• not all positions within which development workers are employed require further training; and<br>• development workers do not always meet the required entry requirements as specified by the training institutions. |
| The necessity of developing a support system for the implementation of the specific training to which development workers were exposed to, was identified as well as the need to be exposed to lifelong learning practices (Subsection 6.6.1.2). | Importance of instilling lifelong learning skills was acknowledged. |
| A skills development framework (Figure 6.2) was developed, based on the skills that development workers indicated as needed when implementing the destitute rehabilitation programme (Subsection 6.6.2).<br>It is difficult for development workers to implement their newly acquired knowledge (obtained through training) in their challenging work environment (Subsection 6.6.1.2). | Additional skills to the skills development framework were identified (Figure 7.1).<br>Development workers described themselves as not well prepared and not trained to implement the destitute rehabilitation programme.<br>Tertiary education does not prepare development workers for the challenging work environment. |

As outlined in Table 7.4, development workers' frustration with the lack of further training was questioned by the DLGSM. The reason for this was that the position of development workers does not always require further studies and development workers do not always meet the tertiary institution's entrance requirements.

In order to overcome the problem of tertiary education that does not prepare development workers for the challenging work environment, the development of a skills framework was suggested in Figure 6.2. This framework can inform the training curriculum for tertiary institutions as well as for in-service training. During Phase III, the development workers identified the following additional skills that need to be addressed in order for them to implement the destitute rehabilitation programme:

- mobilisation skills; and
- the application of community development approaches to ensure sustainability of projects.

Based on these skills, the skills development framework related to social learning and community empowerment skills, as depicted in Figure 6.2, was altered (Figure 7.1).

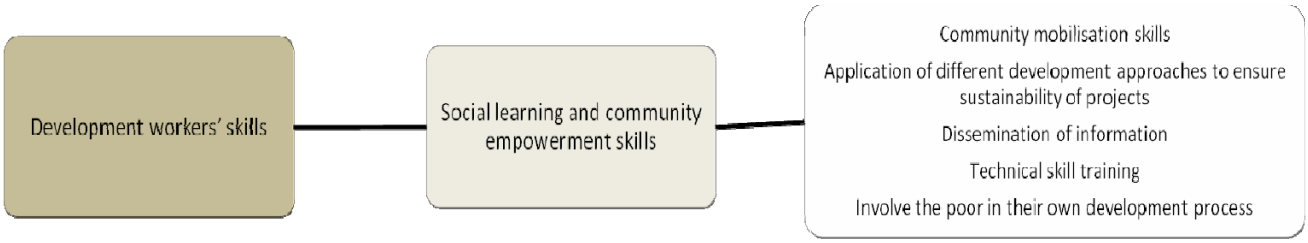



**Figure 7.1: Addition to skills development framework presented in Figure 6.2**

It is outlined in the destitute rehabilitation guidelines how the community needs to be mobilised and how sustainability of the destitute rehabilitation projects can be ensured (Ministry of Local Government 2002a). The problem is thus not related to theoretical knowledge on how to implement these skills but rather to the ability to implement these skills in a practical situation. It became evident in Phase I (Subsection 6.6.1) that development workers find it difficult to implement newly acquired skills. As reflected in Figure 7.2, findings related to Phase III confirmed that:

- tertiary education does not prepare development workers for the challenging operational behavioural environment within which they are functioning; and
- development workers feel powerless themselves and are therefore not prepared to empower others (according to the S&CD council management) (Figure 7.2).

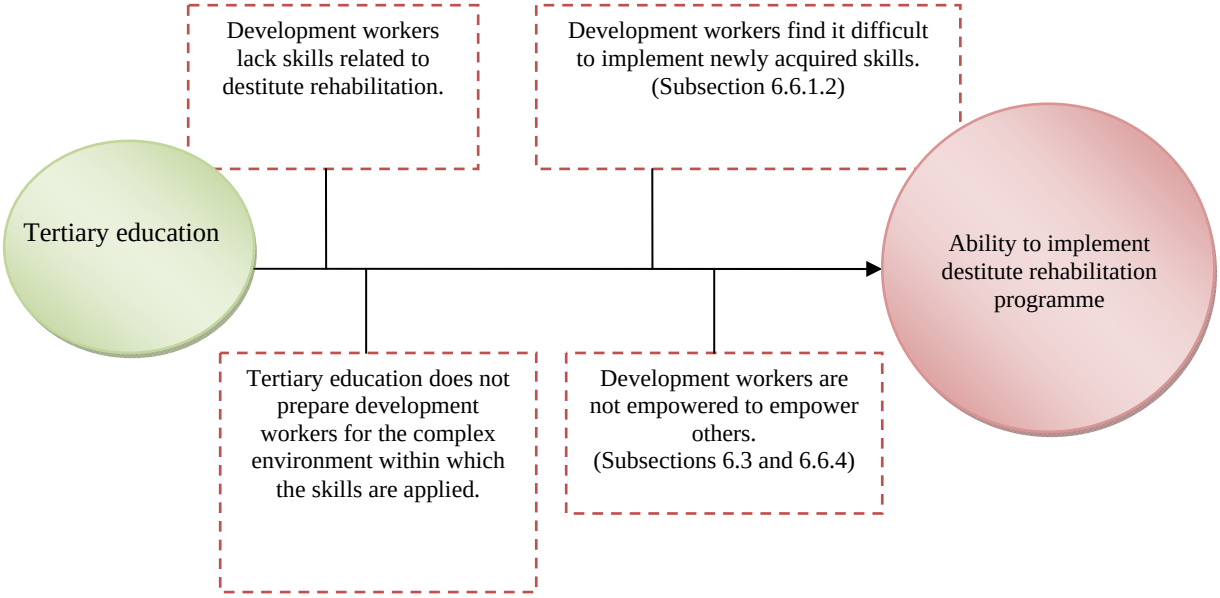



**Figure 7.2: The impediments in applying skills gained from tertiary education**

The nature of skills required (Figures 6.2 and 7.1) by development workers revealed the need for an appropriate tertiary training environment that will enable development workers to apply the acquired skills when implementing the destitute rehabilitation programme (Figure 7.2). In order to address the problems described in Figure 7.2, Mintzberg (2004) suggests that tertiary training should ideally not only include lectures (that explain theory), the discussion of case studies, the completion of projects by students and action learning in the form of fieldwork but an element of deliberate reflective practices should also be incorporated. An explanation of the theory, discussion of case studies, completion of projects and action learning are related to the liberal, behavioural and progressive philosophies as described in Table 3.3 since these philosophies encourage:

- conveying specific subject-related knowledge;
- encouraging the development of certain behaviour attitudes; and
- enabling learners (development workers) to identify and solve their own problems.

As evident in the findings of this research and also described by Wessels (2000), knowledge alone is not adequate to prepare development workers for the challenging environment within

which they are operating. Freire (1973), Strachan (1996) and Mintzberg (2004) recommend that the facilitator needs to provoke development workers to engage in ongoing dialogue, reflective practices and critical thinking (Subsection 3.3.2.1[ii]) as related to the radical adult education philosophy (Subsection 3.3.3.1[i]). This will enable development workers to share in group discussions on how the theory (lectures and case studies) relates to their experience (actions) so that learning from experience can takes place. It is thus required that facilitators be skilful in enabling development workers to translate tacit knowledge into explicit knowledge which will enable the latter to create new knowledge themselves (Samoff and Stromquist 2001). It will also enable development workers to generate deeper levels of understanding and enlarge their capacity to adapt to complex situations (Pasteur and Scott-Villiers 2004).

As discussed above, it is important to encourage development workers to practice lifelong learning skills, such as dialogue, reflection and critical thinking. This notion was also expressed by the DLGSM:

> "They (development workers) need to engage in ways (of learning) themselves without going to university to learn. In other words to engage in activities that will enable them to learn on the job and to become creative on the job without being at the university and get materials from somewhere but create that materials themselves."

The challenge that this discussion proposed is thus not only to identify the skills related to destitute rehabilitation, but also to identify appropriate training approaches (see Figure 8.1) and a support system for development workers to apply the acquired skills.

### *7.2.8 Community development approaches*

The following findings, related to the implementation of the community development approaches by development workers, were established during Phase I (Subsection 6.6.3):

- the way the welfare and developmental social welfare (DSW) approaches have been applied by development workers during this research (Figure 6.3);
- the consequences of using the welfare approach as perceived by development workers;
- the way the DSW has been implemented by development workers and the destitute's experiences and expectations of the DSW approach;
- the destitute's expectations related to the application of the liberation approach;

- the reasons why the DSW approach has not been successfully implemented by development workers; and
- the reasons why the liberation and transformation approaches have not been applied by development workers.

During Phase III, data regarding the application of community development approaches referred to just one approach, namely the developmental social welfare approach (DSW approach). This data (Phase III) revealed expanded reasons over and above those described in Subsection 6.6.3.3 as to why the DSW approach has not been implemented successfully based on the experiences of the key role players in the destitute rehabilitation process.

Table 7.5 describes aspects related to the process of applying the DSW approach, the perceived outcomes of the related processes and ways suggested by the S&CD council management to change these outcomes.

**Table 7.5: Aspects related to the process of applying the DSW approach**

| | **Process** | **Outcome** | **Ways to change the outcomes as suggested by the S&CD council management** |
|---|---|---|---|
| **First point** | Development workers have no time to supervise, monitor and evaluate the destitute rehabilitation projects and to support the destitute. | Projects fail. | Use of consultants to manage and supervise destitute rehabilitation projects (Semi-urban district). |
| **Second point** | Destitute rehabilitation is a matter of trial and error. | There is no progress. | Development of a structure for destitute rehabilitation projects before the destitute join the projects (Urban district). |
| **Third point** | The operational behaviour environment is detrimental to the implementation of the destitute rehabilitation programme (Subsection 6.6.3.3). | Delay of allocation of funds to destitute rehabilitation projects.<br>Development workers do not give priority to the destitute rehabilitation projects because of other urgent matters. | Being transparent with the destitute regarding difficulties experienced by S&CD councils, which cause project delays (Urban district). |
| **Fourth point** | The destitute are not involved in the whole process of destitute rehabilitation. | The destitute do not take ownership. | Preparation of a management plan, which enable destitute rehabilitation group members to manage the destitute rehabilitation projects themselves (Semi-urban district). |
| **Fifth point** | Outside experts are used to facilitate training of the destitute, because of development workers' lack of expertise in specific technical skills. | Training does not produce the gaining of skills.<br>Projects collapse when development workers or experts withdraw from the process. | |

The first three points in Table 7.5 show that S&CD council management and development workers were not involved in any reflection related to their practices, which cause them to:

- rather get consultants to do the rehabilitation, whereas S&CD council management and development workers together with DSS could reflect on their practices to create ways for destitute rehabilitation to be integrated in the development workers' daily routine work;
- not incorporate learning in the destitute rehabilitation process but rather to see it as a matter of trial and error; and

- blame the operational behaviour environment for the little progress in destitute rehabilitation without finding ways to influence it, and to find ways of engaging in destitute rehabilitation despite the hindrances that S&CD council management and development workers are experiencing.

This once again shows the importance of equipping development workers with lifelong learning skills that will enable them to question their practices through dialogue, critical thinking and reflection. The fourth point (Table 7.5), namely the destitute that are not involved in the whole process, is an outcome of the first three points, since development workers have not spent sufficient time with the destitute (Subsection 6.3.7). The fifth point (Table 7.5), the employment of external trainers, has the potential to affect the success of the project should the external facilitators withdraw from the project prematurely.

The S&CD council management from the three different councils suggested different ways to overcome the problems experienced during the implementation of the DSW approach as described in Table 7.5 (fourth column). However, these suggested ways (except for the third point, Table 7.5) are all dependent on the creation of new systems and processes (related to the external environment) that require:

- access to resources (infrastructure, funds and human resources);
- the creation of systems and processes to improve destitute rehabilitation practices which are considered high priority; and
- adequate communication procedures between S&CD councils, consultants and other departments.

It was also confirmed by development workers and the destitute that the destitute were not adequately supported during the rehabilitation process (the first point in Table 7.5). It became evident that the development workers and the destitute felt that there was inadequate follow-up and support from external trainers after training had taken place. The destitute also indicated that they needed to be mentored throughout the rehabilitation process. A destitute rehabilitation group from the semi-urban district who were involved in pottery and polish making expressed their need to be mentored as follows:

> "Like when our pots are poor quality someone must come and help us."

The above statement refers to the technical support required by the destitute. The need for support was also mentioned with regard to:

- obtaining access to funding and other resources like transport;
- monitoring their (destitute) progress;
- mentoring the group throughout the rehabilitation process;
- acquiring new skills; and
- establishing the way to work as a group.

The formation of a support system is thus required for the destitute. This could consist of the five above-mentioned points.

### *7.2.9 Development workers' attitudes*

Development workers' attitudes were described in Subsection 6.6.4 and in Table 6.4, in terms of the following four components related to an individual's attitude:

- cognitive (beliefs and perspectives);
- affective (emotions and feelings);
- evaluative (positive or negative judgement based on values); and
- conative (tendency to act in a certain way).

In Phase III, the development workers' negative attitudes (Subsection 6.6.4 and Table 6.4) were described by the DLGSM as the result of development workers' poor career choices. However, S&CD council management ascribed development worker's negative attitudes to the lack of an adequate operational functioning structure and a lack of funds. Development workers also confirmed in Phase III that they were not committed and motivated towards their work on account of poor working conditions as reflected in Figure 7.3. Aspects that cause development workers to have negative attitudes towards destitute rehabilitation and the way these attitudes affect destitute rehabilitation practices are depicted in Figure 7.3.

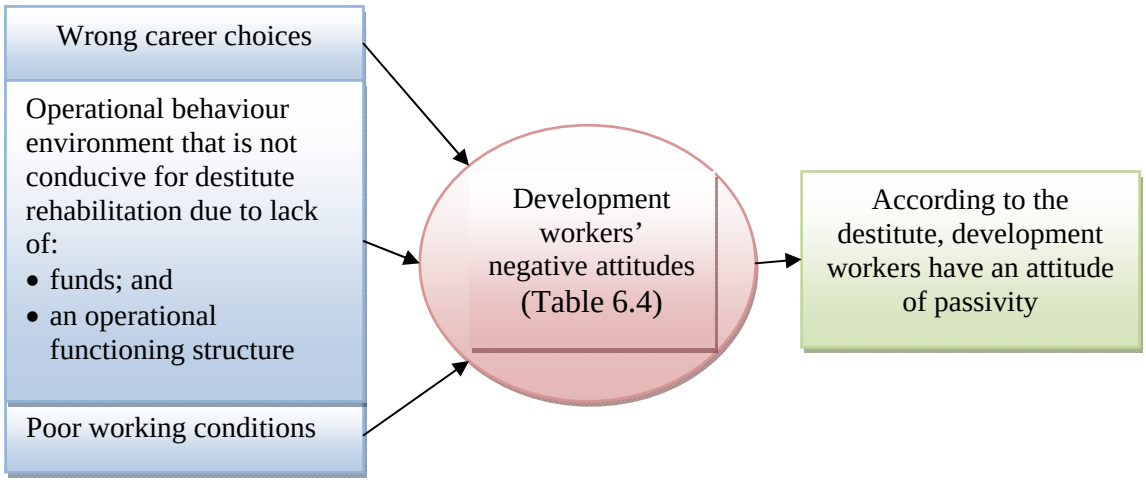



**Figure 7.3: The effect of development workers' negative attitude on the destitute rehabilitation practices**

The negative attitude of development workers (Figure 7.3) might be reflected in the development workers' practices, since the destitute felt at times that the development workers have an attitude of passivity towards the destitute rehabilitation process. This shows that development workers' attitudes are not isolated to their office environment but that it actually spills over into their interaction with the destitute.

### *7.2.10 Summary of the data generated in Phase III*

Based on the findings related to Phase III, the following additions to theory development (Subsection 6.7) are proposed:

- The development of a rehabilitation implementation system which includes:
    - appointing a destitute rehabilitation coordinator who focusses solely on the rehabilitation process;
    - informing and equipping supervisors regarding the rehabilitation challenges;
    - establishing a structured network relationship with other government departments; and
    - equipping development workers with social learning and community empowerment skills related to mobilisation of the community, the way to ensure sustainable projects and the application of different community development approaches.
- The development of a structured support system for the destitute including:

- assisting the destitute to obtain access to funding and other resources like transport;
- monitoring the destitute's progress;
- mentoring the destitute rehabilitation groups, sharing ideas with them and giving advice;
- development workers needing to see the destitute as partners in the rehabilitation process rather than seeing themselves and the destitute as victims of the problems (related to the operational behaviour environment) experienced;
- enabling the destitute to acquire new skills; and
- supporting the destitute to address the challenges they are experiencing as groups.

The findings related to Phase III also enabled the establishment of the boundaries of the operational behaviour environment relating to the different stakeholders' level of control as portrayed in Figure 7.4. In the case where the internal environment is responsible for bringing about change, it is evident that development workers have control over the environment. When the external environment is responsible for bringing about change, the development workers have no direct access to inform change and do not control the environment even though they could influence it.

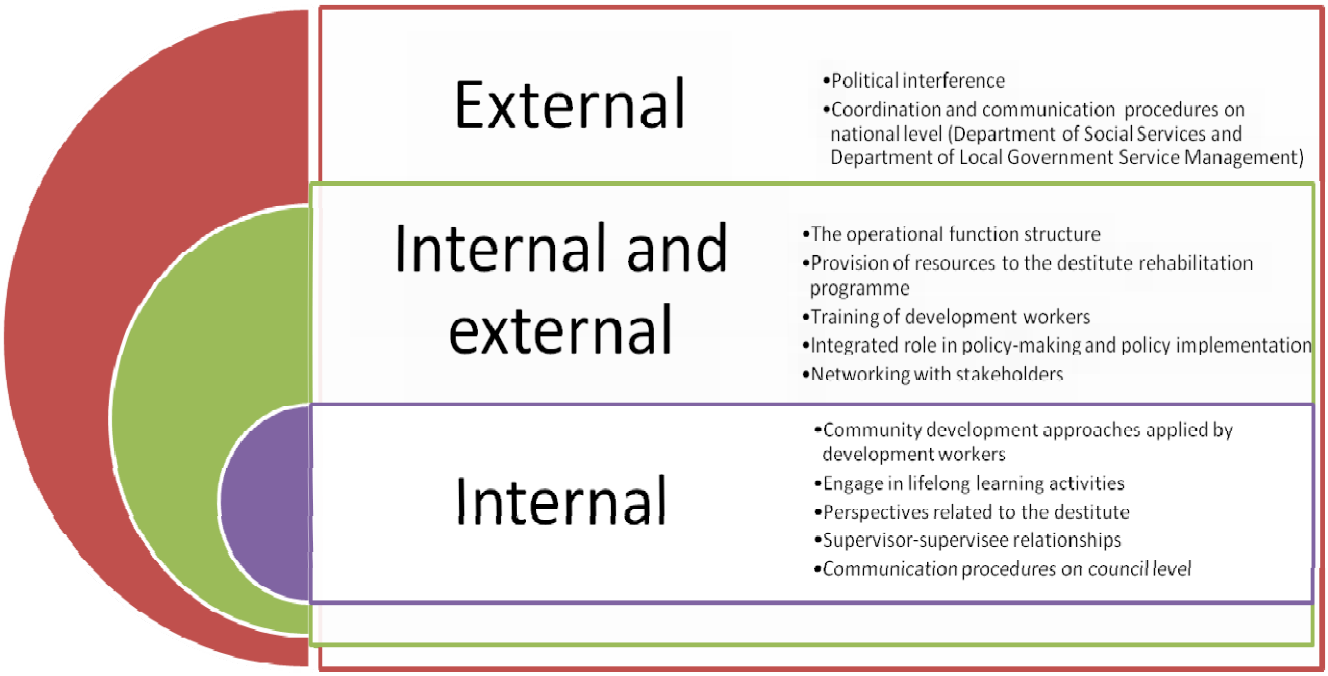



**Figure 7.4: Environmental boundaries in destitute rehabilitation practices**

Figure 7.4 depicts how the development workers, S&CD council management, human resource officers and policy-makers allocated different functions in destitute rehabilitation to development workers' internal or external environment. These environmental boundaries indicate who controls the different functions. It was evident from the findings of this research that development workers see themselves as powerless to influence the functions that they perceive as external to their control. If development workers were asked to draw Figure 7.4, all the elements in the middle block (Figure 7.4) would have been depicted in the external environment (first block).

Based on the findings of this research, resources such as finances, infrastructure and human resources appeared to be the responsibility of the external environment (DLGSM and DSS). However, the relationship and communication procedures between the development workers and S&CD council management are essential to acquire sufficient resources. The operational functioning structure was identified as the responsibility of the DLGSM, although the development workers can also participate in challenging the external environment by creating an appropriate supervision structure. The DSS was described as responsible for change relating to the destitute rehabilitation guidelines although the suggested change in policy implementation included the merging or integration of the roles of the external (DSS) and internal environments. Changes in the training of development workers appeared to be related to the interaction between the DLGSM and the S&CD councils. Approaches applied by development workers were related to the internal environment, but it became evident that it is essential to build relationships with the external environment throughout the destitute rehabilitation process.

Figure 7.5 complemented Figure 6.4 in describing how the data that emerged links to the theoretical framework developed in Figure 4.6. The solid red lines show new links established between concepts, and the dotted red line shows the influence that the enabling environment has on a specific function (for example human resources). The black dotted line represents the researcher's assumption of possible influences, but this was not strongly indicated by the findings of this research.

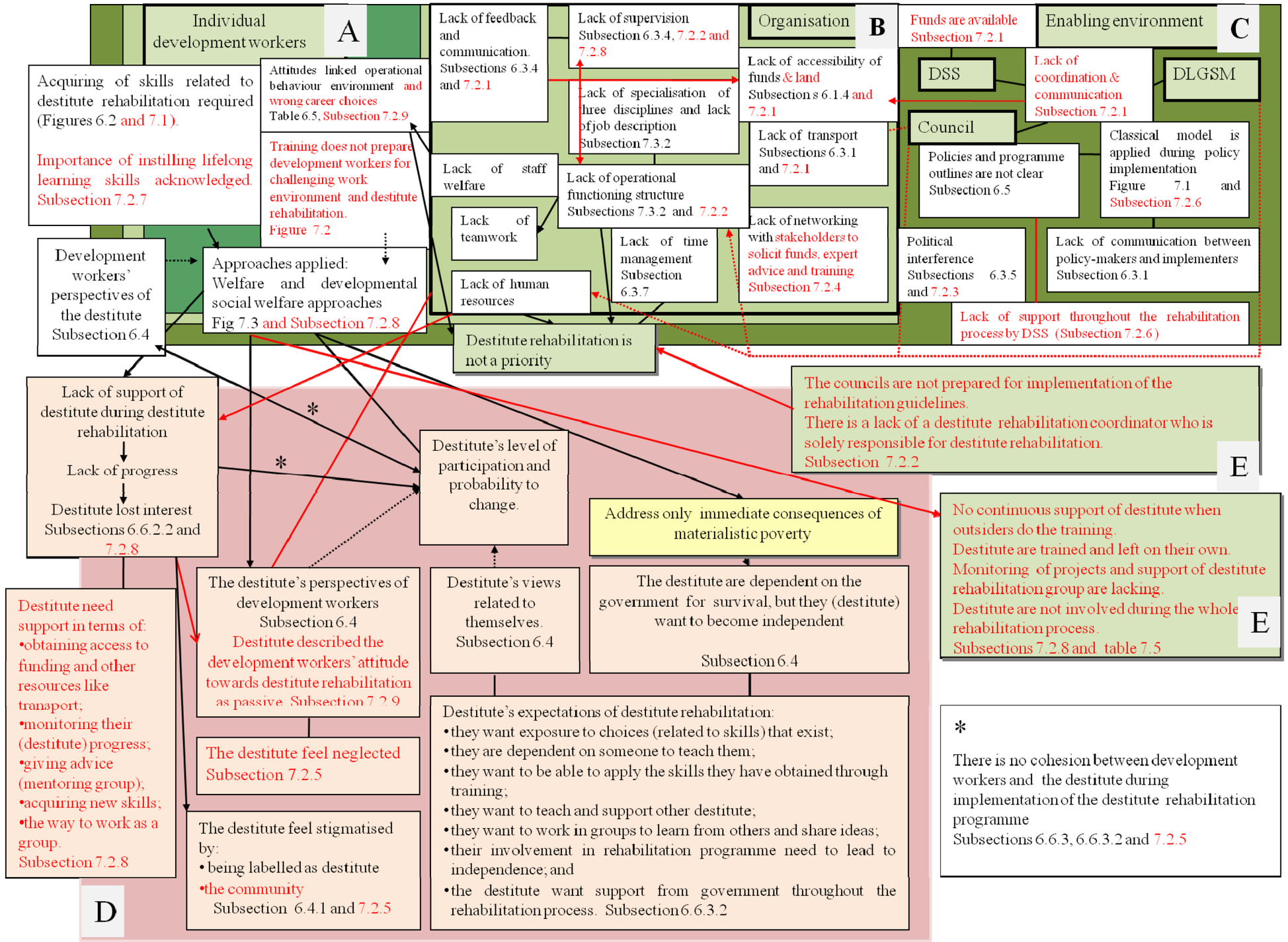



**Figure 7.5: Findings that emerged during phase III in relation to the theoretical framework and Figure 6.4**

## 7.3 Application of critical systems heuristics

Chapter 6 as well as Subsection 7.2 used coding principles of grounded theory to analyse the data of Phases I and III. Critical systems heuristics (CSH) is applied in this section to develop deeper insight into the interpreted data in order to develop the conceptual framework. Deeper insight is developed by asking specific questions related to the interpreted data, of Phases I and III, using the four boundary categories shown in Table 7.6.

A core concept of CSH is the application of boundary judgements through critical reflective practices. Application of boundary judgements includes asking specific questions to discover relevant problem aspects, assumptions or solutions strategies (Ulrich 2005). CSH is used in this research to evaluate the rich data. These rich data were obtained in Phases I and III in this research.

Chapter 3 described CSH, based on literature and Chapter 4 justified the application of CSH in this research. CSH as a systems thinking approach for interpreting data in this research is described in Subsection 5.6.2.1 and Table 5.8. Table 7.6 outlines how CSH is applied in this chapter.

**Table 7.6: Application of the critical systems heuristics**

| **Boundary category** | **Role vs. Role concern** | | **Problems** |
|---|---|---|---|
| **Beneficiaries (7.3.1)** | Who are the beneficiaries of the destitute rehabilitation programme? (7.3.1.1) | What should the destitute rehabilitation programme achieve? (7.3.1.2) | What are the indicators of improvement? (7.3.1.3) |
| **Owners (7.3.2)** | Who are the owners of the destitute rehabilitation programme? (7.3.2.1) | Which components of the destitute rehabilitation programme are controlled by the owners? (7.3.2.2) | What belongs to the destitute rehabilitation programme's environment but is not controlled by the owners? (7.3.2.3) |
| **Experts (7.3.3)** | Who are the relevant experts? (7.3.3.1) | What is the expertise that the destitute rehabilitation programme relies on for implementation? (7.3.3.2) | How implementable are the destitute rehabilitation guidelines? (7.3.3.2) |
| **Affected (basis of legitimacy) (7.3.4)** | Who are the affected? (7.3.4.1) | To which extent are those affected given the opportunity of empowerment? (7.3.4.2) | What is the difference in perspectives between the affected and the involved? (7.3.4.3) |

Based on the understanding that emerged through the application of CSH in this research, a conceptual framework is created for understanding the capacity enhancement that needs to take place in order for development workers to implement the destitute rehabilitation programme. CSH outlines were developed based on each boundary question as prescribed by CSH theory (Table 7.6). These CSH outlines describe the ideal situation related to each boundary question and the actual situation. Reasons are also given on why there is a gap between the actual and the ideal situations.

Data related to Phases I (Chapter 6) and III were used to establish the CSH boundaries. Data collected in Phase IV were also incorporated in this discussion to show new insights that came to the fore during the dialogue with different role players. Data (related to Phase IV) were only reported where it brought new insight to the CSH outlines.

In Phase IV, dialogue was encouraged through focus group discussions and focussed specifically on the critical systems heuristics outlines (Tables 7.7–7.17 and 7.19). The DSS, the DLGSM, development workers, council management and the destitute took part in these discussions.

### *7.3.1 The beneficiaries of the destitute rehabilitation programme*

This subsection on the beneficiaries of the destitute rehabilitation programme describes:

- who the beneficiaries of the destitute rehabilitation programme are;
- what the destitute rehabilitation programme aim to achieve in order for the intended beneficiaries to benefit; and
- the indicators that are set to measure improvement of the destitute rehabilitation programme.

#### *7.3.1.1 Who are the beneficiaries of the destitute rehabilitation programme?*

According to the destitute rehabilitation guidelines, the destitute should be the beneficiaries of the destitute rehabilitation programme by becoming independent of government support. But the destitute did not view themselves as the beneficiaries of the destitute rehabilitation programme, since they were not receiving the support they had expected (Subsections 6.4.3 and 7.2.8). In Phase IV, the DSS emphasised the importance of making alterations to the destitute rehabilitation programme in order for the destitute to benefit by it. Table 7.7 contributes to clarification on why the destitute are not the beneficiaries of the destitute rehabilitation programme.

The DSS is responsible for the welfare of the destitute in Botswana in the form of material support as well as by enabling the destitute to become independent from government support. The DSS will therefore be the beneficiary of the destitute rehabilitation programme when the number of destitute is reduced, as reflected in the following statement:

> "There are currently 24 destitute per 1 000 citizens. The intention is that numbers will go down and not up as the case currently is." (Department of Social Services)

It was however evident from the findings of this research that the DSS did not benefit by the destitute rehabilitation programme as intended.

The development workers will benefit by the destitute rehabilitation programme when they contribute to destitute rehabilitation through carrying out successfully the work responsibilities assigned to them (Subsection 6.4.3). These responsibilities and skills are outlined in Subsection 6.6.2.2 and Figure 6.2. Based on the findings of this research, the development workers do not view themselves as beneficiaries of the destitute rehabilitation programme. In fact, the development workers view themselves as victims, since they experience the operational behaviour environment as not conducive for destitute rehabilitation (Subsections 6.3 and 7.2). It is clear from the data (Table 6.4 and Subsection 6.6.4) that the consequences of the development workers viewing themselves as victims were that:

- destitute rehabilitation was not viewed as a priority;
- goals that had been set could not be achieved;
- no creativity was included in work execution;
- no progress was made in implementing the destitute rehabilitation programme; and
- development workers did not perceive themselves as able to influence their operational behaviour environment.

Development workers who are supposed to enable the destitute to benefit by the destitute rehabilitation programme, thus feel disempowered themselves as a result of their operational behaviour environment.

The councillors were viewed by development workers, council management and the DSS as the non-intending beneficiaries of the destitute rehabilitation programme. Councillors were accused of registering the destitute for political gain and that they override the regulations of the destitute policy. However, this statement was contested by the councillors from the urban

district, since their only intention is to let the destitute benefit and not themselves (Subsection 7.2.3).

The preceding discussion described four potential beneficiaries, based on the findings of this research: the destitute, the policy-makers, the development workers and the councillors. The actual situation is that:

- the destitute did not express that they receive any benefit as a result of the destitute rehabilitation programme;
- the destitute rehabilitation programme does not cause the number of registered destitute to drop in order for the DSS to be the beneficiaries of the programme;
- development workers view themselves as victims of the destitute rehabilitation programme rather than beneficiaries; and
- the councillors contested that they use the programme only to let the destitute benefit and not themselves.

Even though the destitute do not benefit from the destitute rehabilitation programme, they remain the intended beneficiaries.

The four groups of beneficiaries of the destitute rehabilitation programme are summarised in Table 7.7 in terms of the actual and the ideal situations as well as the reasons for the gap between the ideal and actual situations.

**Table 7.7: CSH Outline related to who the beneficiaries of the destitute rehabilitation programme are**

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| The **destitute** are intended to be the beneficiaries, but they did not describe any benefits that they are receiving.<br>The destitute feel unsupported and neglected by development workers (Subsection 7.2.5). | The destitute are dependent on the development workers to reach the state of independence.<br>Development workers who are supposed to empower the destitute are disempowered themselves (Subsections 6.3 and 6.4.4).<br>There is no cohesion between the destitute and the development workers and they do not find common ways of solving problems that arise (Subsections 6.3.3, 6.6.3.2 and 7.2.5).<br>Programmes are imposed on the destitute without taking their expectations and level of readiness into consideration (Subsection 6.6.3.2). | The destitute are the beneficiaries, through exposure to a supportive environment that enables them to:<br>• realise their own capabilities (Subsections 6.4.1 and 6.6.3.2);<br>• become partners with development workers in the rehabilitation process (Subsection 7.2.5); and<br>• move from dependency to independence (Subsection 6.6.3.2). |
| There was no indication that the **DSS** benefitted by the destitute rehabilitation programme. | DSS only develops the destitute rehabilitation guidelines and does not support the development workers during the implementation process.<br>During revision of the destitute rehabilitation guidelines by the policy-makers the emphasis is not on the impediments that underpin the implementation process.<br>Causes of failure are not analysed by development policy-makers when monitoring is done during implementation of the destitute rehabilitation programme.<br>(Subsection 6.5) | DSS applies the integrationist policy-implementation model as a beneficiary of the destitute rehabilitation programme by:<br>• engaging with development workers and the destitute in dialogue to set goals during destitute rehabilitation;<br>• making adjustments to the destitute rehabilitation guidelines during implementation and supporting the development workers in making the guidelines context specific; and<br>• gaining deeper understanding into the impediments in the operational behaviour environment that affects destitute rehabilitation.<br>(Subsections 6.5 and 7.2.6) |
| **Development workers** view themselves as victims of the destitute | Development workers believe that their operational environment is beyond their | Development workers benefit from the destitute rehabilitation programme through engaging in |

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| rehabilitation programme instead of beneficiaries. | ability to influence and therefore instead of influencing their environment they are disempowered by it (Subsection 6.3). | reflective practices, critical thinking and dialogue to question:<br>• their attitudes towards destitute rehabilitation and their operational behaviour environment;<br>• their perspectives of the destitute; and<br>• the community development approaches they are applying. |
| **Councillors** were described as the non-intending beneficiaries of the destitute rehabilitation programme.<br>Subsections 6.3.5 and 7.2.3 | There is no trust relationship between the councillors and the development workers to achieve a common a goal.<br>Destitute registration is used as a tool for political campaigns (Subsection 6.3.5). | Councillors understand the process of destitute rehabilitation and their role in it. |

As reflected in Table 7.7, in order for the destitute to become beneficiaries, the DSS and development workers will need to strategise towards better practices together with the destitute during implementation of the destitute rehabilitation programme. This can be done by implementing the integrationist policy-implementation model as discussed in Subsection 7.2.6.

The DSS confirmed the importance of allowing development workers and the destitute to become goal-setters during implementation of the destitute rehabilitation guidelines as well as during monitoring (together with the DSS) of the implementation process, as encouraged by implementing the integrationist model. In Phase IV, the policy-makers proposed the start of the process of implementing the integrationist policy-implementation model with a few development workers, since:

- it is not the DSS's current practice to integrate policy-making and policy-implementation roles between the DSS and development workers; and
- there is a shortage of DSS staff.

A pilot test programme will enable the DSS to understand how to initiate the implementation of the integrationist policy-implementation model.

#### *7.3.1.2 What should the destitute rehabilitation programme achieve?*

As reflected in the destitute rehabilitation guidelines (Ministry of Local Government 2002a) the clear goal of the DSS for destitute rehabilitation is to enable the destitute to exit the destitute programme, as they are achieving independence and empowerment. The Operating Manual of the Destitute Policy (Ministry of Local Government 2002c) indicates specifically that the goal is to empower the destitute economically, physically, socially and psychologically. This means that the DSS would like to see all four types of poverty addressed, namely material poverty, capability poverty, participatory poverty and identity (psychological) poverty. As discussed in Subsection 2.4.2.1, the guidelines do not specifically emphasise the implementation of the essential components of the liberation approach to address participatory and identity poverty. Focus is rather placed on application of the DSW approach to bring about the goal of empowerment.

Empowerment and independence were also described by the DSS, the S&CD council management (Urban district, focus group discussion, Phase III) and development workers (all three districts, workshop I, Phase I) as the main purpose of the destitute rehabilitation programme, as reflected in the following statements by the council management from the urban district:

> "Empowering the people to sustain their own lives by giving them skills."
>
> "Enable people to change their way of life, mindsets, thinking and attitudes."

The first statement above implies that development workers connect empowerment to mere skills training. This is in contradiction to the explanation of empowerment in Figure 2.5 where empowerment is described as an outcome of enabling the destitute to set their own goals and to act upon it. The second statement reflects what development workers expected as the outcome of empowerment but it does not reflect their understanding of how to achieve the outcome. Development workers from all three councils were unaware of the principles of the liberation approach (Figure 2.5) to bring about empowerment, and saw mere training as the ideal medium to bring about empowerment (Subsection 6.6.3.3).

Interpretation of the data also revealed that the destitute would like to see the following aspects achieved as they partake in the destitute rehabilitation programme:

- to equip them with skills they do not possess or which they do not know they have the ability to possess (Subsection 6.6.3.2);

- to equip them to provide for their needs where government fails to do so (Subsection 6.6.3.2);
- to enable them to support other destitute (Subsection 6.6.3.2); and
- to enable them to become independent of government handouts (Subsection 6.4.2).

The first aspect is related to the application of the DSW approach. The second aspect could be an outcome of the DSW approach if the destitute earn an income through the development of the income-generation projects. The third aspect is related to the application of the liberation approach, and the fourth aspect could be a result of the liberation and the transformation approaches if it includes sustainable independence.

However, the data (Phases I and III) revealed that these expectations were not achieved. Quite the opposite, as the data revealed a discrepancy between what the destitute rehabilitation programme intended to achieve (empowerment of the destitute) and what the destitute actually experienced during the destitute rehabilitation programme (Subsections 6.4.3, 6.6.3.2 and 7.2.8). This is also described by Lekoko (2002) as a common state of affairs in development practices in Botswana, and by Joshi and Moore (2000) as the reality in many development and aid agencies (Subsection 1.2 and Figure 1.1).

In order to achieve the intended results, the liberation and transformation approaches need to be applied. However, only the welfare and developmental social welfare approaches were applied during implementation of the destitute rehabilitation programme (Figure 6.3). The developmental social welfare approach could however not be implemented successfully. Successful implementation of the DSW approach would have ensured the construction of a foundation to support the implementation of the liberation and transformation approaches. The reasons for the gap between the actual and the ideal situations are summarised in Table 7.8, describing why the DSW approach could not be implemented.

**Table 7.8: CSH outline related to what the destitute rehabilitation programme should achieve**

| Actual | Reasons for the gap between the actual and ideal situations | Ideal |
|---|---|---|
| The destitute are not empowered and are still :<br>• fully dependent on government support; and<br>• registered on | The DSW approach has not been implemented by the development workers in terms of training of the destitute, obtaining funds and connecting the destitute rehabilitation groups to experts (Subsection 6.6.3.3).<br>No foundation has thus been laid to implement the liberation and transformation approaches because of the following reasons:<br>• development workers do not view destitute | The destitute is empowered: economically; physically; socially; and psychologically.<br><br>The destitute is |

| Actual | Reasons for the gap between the actual and ideal situations | Ideal |
|---|---|---|
| the destitute programme. | rehabilitation as a priority (Subsection 6.6.3.3);<br>• the operational behaviour environment is not supportive for destitute rehabilitation (Subsections 6.3, 7.2.1 and 7.2.2);<br>• there is a lack of communication procedures to access funds (Subsections 6.3.1.4 and 7.2.1);<br>• development workers lack of appropriate training to implement the destitute rehabilitation programme (Subsection 7.2.7);<br>• the destitute are not adequately supported by the development workers (Subsections 6.6.2.2 and 7.2.8);<br>• there is no inter-relationships between stakeholders in the destitute rehabilitation system (Subsections 6.3.6 and 7.2.4);<br>• development workers do not strategise with other development workers and policy-makers on how to support the destitute (Subsection 7.2.6);<br>• inadequate time spent with the destitute (Subsection 6.6.3.2); and<br>• development workers do not engage in reflective practices themselves to encourage the destitute also to do so (Subsection 6.6.3.3). | independent from government handouts.<br><br>The destitute deregister from the destitute programme. |
| The destitute are still in need of skills training and they are taught skills that they cannot apply. | Required training of the destitute did not take place because of the following reasons:<br>• the development workers do not understand the destitute's level of readiness and their expectations of destitute rehabilitation (Subsection 6.6.3.2);<br>• the destitute are not involved in the training process (Subsection 6.6.3.2); and<br>• training is mostly conducted by outside experts, which causes a lack of continuity (Subsection 7.2.8). | The destitute are equipped with skills they do not possess or which they did not know they had the ability to possess.<br>The destitute are taught skills that they can apply. |

As reflected in Table 7.8, the intended result of the destitute rehabilitation programme, namely empowerment of the destitute, has not been achieved and there was no indication of the instigation of the process of empowerment. The process of empowerment would have been evident if the destitute had set their own goals and if they were not entirely dependent on the government to achieve independence (Figure 2.5). The absence of the empowerment process is linked to development workers' inability to apply the appropriate community development approaches in their operational behaviour environment.

#### *7.3.1.3 What are the indicators of improvement?*

The decrease of the number of registered destitute people was the only indicator used by the DSS and the S&CD councils to identify improvement in destitute rehabilitation, as reflected in the following statements:

> "The Botswana Government targets to diminish destitution before the end of 2007 from 24 to 15 destitute per 1 000 citizens. This target seems impossible to accomplish since it is already August and it reduced only by 0.5% since the target had been set." (Department of Social Services)

> "If we can exit half the number of the destitute persons we have the better." (Urban district, council management, focus group discussion I)

When the indicators used to measure improvement are related to the decrease in the numbers of destitute on the rehabilitation programme, then only the product of the programme is measured and not the process used to achieve the volume of output. When improvement is measured in terms of volume of output, ways can be found to increase output and hence the improvement shows a successful result without actually improving the process in order to improve the product. Therefore, the success of the destitute rehabilitation programme in Botswana is wrongly placed on the numbers of destitute who exit the programme. The consequence is that no emphasis is placed on whether or not the destitute have been empowered by the destitute rehabilitation programme.

In Phase IV, the DSS confirmed that the only measures they were using to determine the success of destitute rehabilitation were related to the number of destitute who had been dropped from the programme. The importance of understanding whether the destitute has benefited by the destitute rehabilitation process is reflected in the following statement:

> "If people's lives are not improving then what's the point. We need to do an impact analysis to have evidence to show that the destitute programme is not working." (Department of Social Services)

This suggests that alternative indicators need to be used by the DSS when measuring improvement of the destitute rehabilitation programme, namely the process of empowering the destitute to become self-sufficient. The destitute rehabilitation guidelines (Ministry of Local Government 2002a) described the process of destitute rehabilitation, which could serve as indicators to measure improvement. However, the development workers experienced the destitute rehabilitation guidelines as unclear. As a result, they do not know what is expected of them.

Based on the interpretation of the data of this research, it became evident that the destitute measure their improvement related to rehabilitation in terms of:

- the development of skills and building on skills they already have (Subsection 6.6.3.2);
- their ability to apply the skills they have obtained through training (Subsection 6.6.3.2);
- their ability to teach and support other destitute (Subsection 6.6.3.3);
- the exposure to choices available to them during the destitute rehabilitation process (Subsection 6.6.3.3);
- accessibility to funding to start the destitute rehabilitation projects (Subsection 7.2.8);
- guidance and support provided by development workers throughout the destitute rehabilitation process (Subsections 6.6.3.2, 6.4 and 7.2.8 ); and
- the destitute's ability to no longer being dependent on the government (Subsection 6.6.3.2).

In all cases, the destitute link the achievement of these goals to government assistance. The destitute's perspectives relating to the success of destitute rehabilitation are therefore linked to the ability of the government to enable the destitute to overcome their state of destitution.

The actual and ideal situations related to the indicators set to measure improvement as well as the reasons for the gap between the actual and ideal situations are summarised in Table 7.9.

**Table 7.9: CSH outline related to the indicators of improvement**

| Actual | Reasons for the gap between the actual and ideal situations | Ideal |
|---|---|---|
| The policy-makers measure their success in terms of the decrease in the number of registered destitute instead of the empowerment of the destitute. | DSS does not to understand development workers and the destitute's experiences during destitute rehabilitation (Subsection 7.2.6).<br>As long as statistics are used DSS does not have to alter its practices related to destitute rehabilitation. | DSS sets the indicators to measure improvement with development workers based on their:<br>• experiences during the implementation of the destitute rehabilitation programme; and<br>• understanding of the underpinning impediments that may affect the indicators set to measure improvement. |
| The destitute's indicators to measure success were not taken into consideration. | Development workers did not understand the destitute's perspectives, experiences and expectations (Subsections 6.4.2, 6.6.3.2 and 7.2.5). | DSS and development workers engage in dialogue sessions with the destitute to understand their perspectives, experiences and expectations. |

As reflected in Table 7.9, the ideal situation is related to the implementation of the integrationist model where the policy-makers, development workers and the destitute set the indicators before and during the implementation of the destitute rehabilitation programme. This will ensure that:

- development workers do not consider the indicators as set by destitute rehabilitation guidelines as unclear;
- the destitute's perspectives, experiences and expectations are taken into consideration; and
- policy-makers understand the aspects in the operational behaviour environment that affect implementation of the destitute rehabilitation programme.

#### *7.3.1.4 Summary related to the beneficiaries*

Subsection 7.3.1 described who is supposed to benefit by the destitute rehabilitation programme, what the programme should achieve in order for the intended beneficiaries to benefit, and the indicators that are set to measure improvement.

The destitute are the intended beneficiaries of the destitute rehabilitation programme through the process of empowerment. The ability to accomplish empowerment is however related to the indicators used by the development workers and the policy-makers during the destitute rehabilitation process to measure improvement. The indicators used will also inform the community development approaches to be applied by development workers.

### *7.3.2 Owners of the destitute rehabilitation programme*

In this research, the term *owner* refers to the role player who has the decision-making power to stop the transformation process (destitute rehabilitation), as intended by the destitute rehabilitation programme, which is also a definition used by Checkland (1999). This subsection describes specifically:

- who the owners of the destitute rehabilitation programme are;
- the components that belong to the owners; and
- the components that are not controlled by the owners.

#### *7.3.2.1 Who are the owners of the destitute rehabilitation programme?*

The DSS (policy-makers), the DLGSM (human resource officers) and the S&CD council management have been identified as the co-owners of the destitute rehabilitation programme.

The policy-makers (DSS) are co-owners due to their ability to alter the destitute rehabilitation programme. The DSS also plays a role in making funds accessible to the S&CD councils, since they have funds available for rehabilitation as reflected in the following statement:

> "We have funding for economic empowerment programmes." (Department of Social Services)

It was evident from the data of this research that the DSS does take ownership of destitute rehabilitation guidelines by revising it and providing development workers with the necessary documentation to implement it. However, the DSS takes no responsibility during implementation of the destitute rehabilitation programme in terms of increasing accessibility to funds and supporting development workers during policy implementation. The DSS, as the co-owners of the destitute rehabilitation programme, does not play a supportive role during destitute rehabilitation as was expected by the development workers (Subsection 7.2.6). These findings are contrary to the destitute rehabilitation guidelines, since they state that the S&CD councils should be provided with professional guidance on the implementation of the guidelines, and implementation should be monitored to maintain the set standards (Ministry of Local Government 2002c).

The DLGSM is the co-owner of destitute rehabilitation in terms of human resources. The professional development (training) of the development workers is dependent on the DLGSM as well on as the appointment of development workers. It became evident that a training framework has not been developed to support development workers in implementing the destitute rehabilitation programme and that there is a shortage of staff to implement the destitute rehabilitation programme. The role that the DLGSM plays as co-owners in the destitute rehabilitation process is thus not supportive for destitute rehabilitation.

Phase IV data revealed that the DSS has according to the DLGSM a responsibility to identify training needs of the development workers and to facilitate in-service training. In addition, it was also clear that the S&CD councils did not communicate their training requirements to the DLGSM. This reveals a lack of inter-relatedness between the DLGSM, DSS and the S&CD councils to contribute to the training of development workers.

The S&CD council management and development workers did not describe themselves as the owners of the destitute rehabilitation programme. Instead of taking the initiative and influencing the environment within which destitute rehabilitation takes place, the development workers were defeated by the consequences of the problems within the

environment (for example lack of access to funds) (Table 6.4). It became evident in Phase IV that the management of the S&CD local councils and development workers are also co-owners of destitute rehabilitation programmes, since they are involved in decision-making processes in destitute rehabilitation that can stop or hinder destitute rehabilitation as reflected in the following statement by the DLGSM:

> "They (S&CD councils) are able to play around with equipment or staff at the council level to make sure there are enough funds for adequate amount of posts."

As reflected in the above statement, the S&CD council management's responsibility and ownership of the destitute rehabilitation programme are acknowledged in terms of the making of decisions related to the allocation of funds and staff. The S&CD council also influences aspects such as the implementation of the destitute rehabilitation programme, training of development workers and the transfer of staff to other councils.

As required, the DSS, the DLGSM and the S&CD councils are co-owners of the implementation of the rehabilitation programme. However, more significantly than the co-ownership is the inter-relationship between the co-owners that is the determining factor for success and effective implementation of the programme. It may be deduced from Table 7.10 that co-ownership is ineffective because most of the activities for which the co-owners were held responsible did not affect destitute rehabilitation as it was intended.

**Table 7.10: Critical systems heuristics outline related to who the owners of the destitute rehabilitation programme are**

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| DSS developed the destitute rehabilitation guidelines and made them available to the development workers but they do not take ownership of destitute rehabilitation in terms of supporting development workers:<br>• to access funds (Subsections 6.3.1.4 and 7.2.1); and<br>• during implementation of the destitute rehabilitation programme (Subsections 6.5 and 7.2.6). | Policies, like the destitute rehabilitation guidelines, are imposed on the development workers and they are not supported after development of the guidelines due to:<br>• DSS not understanding the expectations of the development workers during destitute rehabilitation; and<br>• DSS not understanding the underpinning impediments of the destitute rehabilitation process. | DSS takes ownership of the destitute rehabilitation programme through the application of the integrationist policy-implementation model as described in Table 7.7. |

| | | |
|---|---|---|
| DLGSM is supposed to take ownership for staff development and staffing issues but:<br>• development workers were not well prepared in terms of skills to implement the destitute rehabilitation programme; and<br>• there was not enough development workers to implement the destitute rehabilitation programme (Subsection 6.3.1.1 and 7.2.1). | DLGSM officers have no interaction with development workers which cause them to not understand:<br>• the underpinning impediments that they (DLGSM) could influence during implementation of the destitute rehabilitation programme. | DLGSM officers see themselves as co-owners of the destitute rehabilitation programme in order to:<br>• support development workers through appropriate training; and<br>• develop a staffing plan that is supportive of destitute rehabilitation. |
| S&CD councils were described by DLGSM and DSS as co-owners related to the destitute rehabilitation programme but S&CD council management did not acknowledge its responsibility to influence:<br>• the obtainment of funds;<br>• the training of development workers; and<br>• decisions related to allocation of staff to specific duties and the transfer of staff. | S&CD council management members do not understand their role as co-owners of the destitute rehabilitation process.<br>There is inadequate interaction between S&CD council management, DLGSM and DSS to work as co-owners. | S&CD council management members see themselves as co-owners of the destitute rehabilitation programme by collaborating with DSS and DLGSM.<br>S&CD councils engage in dialogue with DSS and DLGSM to understand their responsibility related to the obtainment of funds, allocation and training of staff. |

These key role players, as depicted in Table 7.10, should not be isolated from one another during implementation of the destitute rehabilitation programme. It is necessary to understand the underlying aspects of the inter-relationships between them, which cause them to function as isolated parts and not as a whole. According to Mullej et al. (2004), inter-relationships are not necessarily the real situation but rather a representation of one's mental picture of the interrelatedness as experienced. This mental picture will only become explicit when the key role players engage in dialogue in order to gain deeper understanding into each other's perspectives, which in turn will determine their objectives and actions.

#### *7.3.2.2 Which components of the destitute rehabilitation programme are controlled by the owners?*

Components that are controlled by the owners include:

- the development of destitute rehabilitation guidelines;
- the procedures to obtain funding (as prescribed by the Ministry of Local Government);
- the availability of transport for destitute rehabilitation projects;
- staff transfers and appointment of development workers;
- the development of a formal training framework (including tertiary education and in-service training of development workers); and

- the development of the operational functioning structure.

All these described components as controlled by the DSS and the DLGSM include collaboration with S&CD councils.

In Phase IV, the DSS confirmed that they are responsible for release of the funds, but there is a specific procedure that needs to be followed by councils to obtain the funds. The procedure to obtain funding makes it a slow and lengthy process. The findings of this research showed that the problem is not only the lengthy process, but that there is also inadequate communication and feedback procedures between the DSS and the local councils as well as within the council itself (between the S&CD council management and development workers). These findings seems to concur with Ghai's (2003) view that the lack of resources is not the main hindrance in the implementation of development programmes, but rather the lack of administrative skills on the side of government to coordinate and monitor development strategies.

As the DSS is considered to be responsible for the development of destitute rehabilitation guidelines, they are also considered the co-owners of the implementation process. Development workers expect support and monitoring from the DSS during the destitute rehabilitation process. As described in Subsection 7.3.1.1, an integrationist policy-implementation model is suggested where the development workers and the destitute become goal-setters during destitute rehabilitation together with the DSS. The emphasis in this case is not merely on the destitute rehabilitation guidelines but also on the interpretation by development workers and the destitute of the guidelines in the context within which such guidelines are implemented. The DSS is supposed to play a supportive and mentoring role during the process of implementation.

It became evident during Phases I and III that human resources (related to development workers) in terms of staff transfers to other councils, training of development workers and the operational functioning structure (including development workers' job descriptions) are controlled by the DLGSM, together with the local councils. The DLGSM confirmed during Phase IV that they are responsible for the training of development workers but that they (DLGSM) do not have a clear understanding of the development workers' training needs. The need for a training framework for development workers was confirmed during Phase IV by both the DLGSM and the development workers as described in Subsection 7.3.3.4.

The actual situation related to the different components controlled by the owners is summarised in Table 7.11, which also indicates the reasons for the gap between the actual and ideal situations.

**Table 7.11: CSH outline related to the components controlled by the owners of the destitute rehabilitation programme**

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| It takes a long time for development workers to obtain funds from DSS and the different councils.<br>Progress of the destitute rehabilitation projects is dependent on the availability of funds.<br>(Subsections 6.3.1.4 and 7.2.1) | The interaction (coordination, communication and feedback) between the S&CD councils and DSS is not supportive (Subsections 6.3.1.4 and 7.2.1). | The rehabilitation programme is structured:<br>• in such a way that progress is not completely dependent on the availability of funds; and<br>• in accordance to the funding development workers have at their disposal at a particular time.<br>Improved coordination, communication and feedback structures for the obtainment of funds.<br>(Subsection 6.3.1.4) |
| Destitute rehabilitation guidelines are:<br>• not clear;<br>• good in theory but not implementable (Subsection 6.5)<br>DSS plays a limited role in the implementation of the destitute rehabilitation programme. | Development workers attended conscientisation workshops on the implementation of the guidelines but did not engage in strategising sessions with other development workers and key role players afterwards.<br>The operational behaviour environment within which the destitute rehabilitation programme is implemented is not taken into consideration during development of the guidelines (Subsection 6.5).<br>Policy-makers and development workers are not encouraged to set goals together before and during implementation of the destitute rehabilitation programme (Subsection 6.5). | DSS applies the integrationist policy-implementation model as a beneficiary of the destitute rehabilitation programme by:<br>• engaging with development workers and the destitute in dialogue to set goals during destitute rehabilitation;<br>• making adjustments to the destitute rehabilitation guidelines during implementation and by supporting the development workers in making the guidelines context-specific; and<br>• gaining deeper understanding of the impediments in the operational behaviour environment that affects destitute rehabilitation.<br>(Table 7.7) |
| There is no transport specifically allocated to destitute rehabilitation. | Destitute rehabilitation is not viewed as a high impact area like orphan care to be specifically allocated resources (Subsections 6.3.2 and 7.2.2).<br>There is no network system with other departments in place to enable the sharing of vehicles (Subsection 6.3.1.2). | Destitute rehabilitation is considered a high impact area and is specifically allocated transport.<br>S&CD councils are sharing vehicles with other departments. |
| There is not an adequate number of development workers allocated to destitute | The S&CD councils do not see it as their responsibility to address the lack of staff and to find solutions internally.<br>Transfers are not contested by S&CD | To combat the problem of a lack of staff, the S&CD councils assign specific development workers the responsibility of destitute rehabilitation. |

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| rehabilitation. (Subsection 6.3.1.1)<br>Development workers are transferred to other councils, which hinders the continuity of projects.<br>(Subsections 6.3.1.1 and 7.2.1) | councils and development workers to prevent transfers when the destitute rehabilitation projects will be negatively affected by it (Subsection 7.2.1). | (Subsection 7.2.2).<br>Transfers of development workers are used to strengthen the team involved in destitute rehabilitation without causing the discontinuation of projects. (Subsection 6.3.1.1) |
| Training, as the responsibility of DLGSM, does not prepare development workers adequately for destitute rehabilitation.<br>(Subsection 7.2.7) | There is inadequate communication between DLGSM and S&CD council management on what the training needs of development workers are.<br>DLGSM does not have an understanding of training required by development workers.<br>(Subsection 7.2.7) | A training framework is developed by DLGSM and development workers that equip development workers:<br>• to implement the obtained skills in the challenging work environment;<br>• to engage in reflective practices, critical thinking and dialogue; and<br>• with skills specifically related to destitute rehabilitation. |
| The current operational functioning structure is ambiguous because there are no clear job descriptions to describe development workers' specific tasks.<br>(Subsection 6.3.2) | The problems related to the operational functioning structure are not communicated to DLGSM by the DSS and S&CD council managements.<br>Supervisors are not able to help development workers to set goals in the absence of specific job descriptions (Subsection 6.3.4).<br>Development workers describe themselves as unable to take initiative in setting their own goals with tasks and responsibilities expected of them (Subsection 6.3.2). | An operational functioning structure for destitute rehabilitation is developed that include assigning of:<br>• a coordinator for destitute rehabilitation at each council that is solely responsible for destitute rehabilitation;<br>• specific destitute rehabilitation tasks to each discipline according to its field of specialisation; and<br>• supervisors who are equipped to lead development workers through the destitute rehabilitation process.<br>(Subsection 7.2.2) |

As described in Table 7.11, there are components related to the destitute rehabilitation programme that are specifically the responsibility of the DSS, the DLGSM or S&CD councils. However, the success of the implementation of these components is dependent on the interaction between these role players (Subsection 7.3.2.1).

#### *7.3.2.3 What belongs to the environment of the destitute rehabilitation programme but is not controlled by the owners?*

Aspects that belong to the environment within which the destitute rehabilitation programme is implemented but which are not controlled by the owners of the programme, include:

- development workers' perspectives related to the destitute (Subsections 6.4 and 7.2.5);
- community development approaches applied by the development workers during destitute rehabilitation (Subsections 6.6.3 and 7.2.8);
- attitudes of development workers towards the government and destitute rehabilitation (Subsections 6.6.4 and 7.2.9 and Table 6.4);
- the ability to apply the formal training to which development workers are exposed (Subsection 7.2.7); and
- communication procedures as applied at council level (Subsection 6.3.1).

These aspects could however be influenced by the owners. The reasons why the owners of the destitute rehabilitation do not control these aspects are outlined in Table 7.12.

**Table 7.12: CSH outline related to the components not controlled by the owners of the destitute rehabilitation programme**

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| The owners do not have control over the following components:<br>• perceptions and attitudes of development workers related to destitute rehabilitation;<br>• community development approaches applied by development workers to implement the destitute rehabilitation programme;<br>• communication and coordination processes at council level; and<br>• formal training to which development workers are exposed. | DSS, DLGSM and S&CD councils operate as isolated parts, which causes them to not understand the aspects that they do not control.<br><br>DSS, DLGSM and S&CD councils never engage in dialogue to scrutinise the aspects that influence destitute rehabilitation. | DSS and DLGSM influence the components they do not control by:<br>• enabling development workers to question their perceptions and attitudes;<br>• ensuring that the community development approaches that are applied are linked to the intended outcomes of the rehabilitation guidelines;<br>• scrutinising the communication and coordination procedures as used by development workers at council level to align them with DSS and DLGSM; and<br>• ensuring that the tertiary training institutions prepare development workers for the challenging work environment. |

As indicated in Table 7.12, there was no indication that the DSS, the DLGSM and S&CD councils engaged in dialogue to scrutinise the system within which destitute rehabilitation is taking place. If these three key role players really take responsibility for destitute rehabilitation, they will see it is important to influence the components they do not control since such components influence the bigger system.

#### *7.3.2.4 Summary related to the owners*

There are specific components that are controlled by the DSS, the DLGSM and S&CD councils. The reality is that none of these different components can be seen as the responsibility of only one role-player. The importance of co-ownership by all key role players in a systems framework needs to be encouraged, so that each role player will be able to see the importance of influencing other role players' responsibilities and activities.

### *7.3.3 Experts of the destitute rehabilitation programme*

The term *experts* in this research refers to those who have the skills to implement the destitute rehabilitation programme and to make the decisions on how to implement it. This subsection describes specifically:

- who the relevant experts are;
- what the expertise is on which the destitute rehabilitation programme relies; and
- how implementable the destitute rehabilitation guidelines are.

#### *7.3.3.1 Who are the relevant experts?*

Development workers are expected to be the experts since they have to make the decisions on how to implement the destitute rehabilitation guidelines, together with the S&CD council management. The development workers and S&CD council management do not view themselves as experts in implementing the destitute rehabilitation programme (Subsection 7.2.6). The research data revealed that development workers expected the DSS, technical experts and the destitute to share the "expert role" with them (the development workers) (Subsection 7.2.8).

Table 7.13 summarises the ideal situation related to who the experts of destitute rehabilitation are and the reasons why there is a gap between the actual and ideal situations.

**Table 7.13: CSH outline related to who the experts of the destitute rehabilitation programme are**

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| Despite the fact that development workers are expected by DSS to be the experts they do not see themselves as such. | Development workers describe themselves as not equipped for implementing the destitute rehabilitation programme (Subsection 6.6.1.1).<br>Destitute rehabilitation is not seen as a priority by development workers (Subsection 6.3.1.1).<br>Development workers are disempowered by their operational behaviour environment and do not see themselves as able to influence it (Subsections 6.3 and 6.6.4). | Specific development workers are assigned the responsibility of destitute rehabilitation and are prepared to be the experts.<br>Development workers are equipped to engage in reflective practices, critical thinking and dialogue to influence their operational behaviour environment. |
| Despite the fact that the DSS takes responsibility to develop the destitute rehabilitation guidelines, they do not see themselves as sharing the expert role with development workers. | DSS has expectations of the development workers without understanding the perspectives, experiences and practices of the development workers. | DSS shares the expert role with the development workers during the destitute rehabilitation process to enable the development workers to become experts. |
| Technical experts from outside departments do not support development workers in the destitute rehabilitation process. | Technical experts do not see themselves as part of the destitute rehabilitation team and do not understand the importance of the role they need to play. | S&CD councils identify key technical experts and engage with them in dialogue to identify how their roles:<br>• fit into the destitute rehabilitation system; and<br>• affect the rest of the destitute rehabilitation system. |

Subsection 7.3.1 revealed that development workers view themselves as victims of the destitute rehabilitation programme, whereas they are supposed to be the experts. Development workers will only be able to become the experts if they take responsibility for destitute rehabilitation and engage in reflective practices to influence their operational behaviour environment.

#### *7.3.3.2 What is the expertise that the destitute rehabilitation programme relies on for implementation?*

The different skills that emerged during this research as essential for destitute rehabilitation were outlined in Figure 6.2, and skills specifically related to destitute rehabilitation were outlined in Subsection 6.6.2 (for example, networking skills, ability to counsel and support the destitute, and technical and business skills) and Figure 7.1. In Phase IV, development

workers confirmed their need to be exposed to the skills outlined in the skills development framework (Figures 6.2 and 7.1) but they specifically indicated that they do not have the following skills:

- project management;
- business skills;
- computer skills;
- technical skills (for example horticulture);
- ability to obtain funds for the destitute rehabilitation projects;
- research skills; and
- reflection skills.

Development workers indicated that they require these technical (the first four) and lifelong learning skills (the last two), because they do not have any impact on destitute rehabilitation programmes to ensure sustainability of it.

The ability to apply the appropriate community development approaches can also be considered an "expertise" that the destitute rehabilitation guidelines rely on. The findings of this research show that the development workers are only familiar with the DSW approach and they see it as the appropriate approach to induce empowerment of the destitute (Subsections 6.6.3 and 7.2.8). Development workers were not able to implement the DSW approach successfully during this research.

The ideal situation in terms of the expertise that the destitute rehabilitation programme relies on is summarised in Table 7.14 as well as the reasons for the gap between the actual and the ideal situations.

**Table 7.14: CSH outline related to the expertise that the destitute rehabilitation programme relies on**

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| Development workers do not have the required technical and lifelong learning skills to implement destitute rehabilitation. | There is not adequate communication between DLGSM and S&CD council management on what the training needs of development workers are.<br>DLGSM does not have an understanding of training required by development workers.<br>(Table 7.11) | The required training framework is developed by DLGSM and development workers that equip development workers:<br>• to implement the obtained skills in the challenging work environment;<br>• to engage in reflective practices, critical thinking and dialogue; and<br>• with skills specifically related to destitute rehabilitation.<br>(Table 7.11) |
| Development workers are not able to apply the skills and knowledge they obtained through tertiary education. | Development workers are not encouraged to engage in reflective practices to influence their operational behaviour environment.<br>There is not an adequate support system to enable development workers to implement acquired skills (Subsection 6.6.1.2). | Development workers are encouraged by a skilled facilitator to:<br>• share in group discussions how the theory relates to their experiences so that learning from experience can take place (Subsection 7.2.7); and<br>• engage with other development workers in double-loop learning through reflective practices, critical thinking and dialogue to establish the deeper underlying causes of the aspects that affect the practices of the development workers. |
| The community development approaches applied by development workers are not adequate for destitute rehabilitation. | The level of readiness and expectations of the destitute are not taken into consideration (Subsection 6.6.3.2).<br>Development workers do not understand the principles of the liberation approach (Figure 2.5) and view mere training as adequate to bring about empowerment (Subsection 6.6.3). | Development workers apply the community development approaches according to the expectations and level of readiness of the destitute.<br>Development workers apply reflective practices, critical thinking and dialogue in their own practices to set goals and to act upon it. This enables them to facilitate the application of the liberation approach during destitute rehabilitation. |
| Despite the fact that DSS develops the destitute rehabilitation guidelines, they do not bring in any expertise during destitute rehabilitation. | DSS provides only limited monitoring and support to the development workers during destitute rehabilitation.<br>DSS and development workers do not engage in dialogue during implementation to strategise and set goals together. | DSS shares expertise with the development workers during the destitute rehabilitation process by applying the integrationist policy-implementation model (Table 7.7). |

As depicted in Table 7.14, development workers indicated that, in terms of formal training (Phases I, III and IV), tertiary education did not prepare them for rehabilitation because what they had studied did not coincide or correspond with what was happening in the field (Subsection 7.2.7). Tertiary education was also described as academic rather than practical. Lifelong learning skills emerged as a solution as such skills could equip development workers to:

- adjust their practices according to the challenges of the operational behaviour environment through reflective and critical thinking practices and through engaging in their own problem-solving (Subsection 6.6.1.2);
- engage in their own learning experiences through research in cases where they feel they are inexperienced (Subsection 7.2.7), as reflected in the following statement (Department of Local Government Service Management, Phase III):

  "We are talking about everybody learning as they do their work on a day-to-day basis. We have this need for continuous learning. And, therefore, as an individual, we explore new avenues, better ways of doing things. When you have that change mentality then you can find that you are always geared towards maybe something new that can be put into practice."

- form working teams:
  - who engage in dialogue with the destitute, the DSS, the DLGSM and stakeholders of the destitute rehabilitation programme and other poverty reduction projects in Botswana; and
  - between home economics extension officers, community development officers and social workers to work as rehabilitation groups that share their skills (suggested by DSS in Phase IV).

Figure 7.6 depicts these lifelong learning skills based on the framework developed in the literature review (Figure 3.6) and that are adjusted according to the findings of this research (Subsections 6.6.1.3 and 6.6.2).

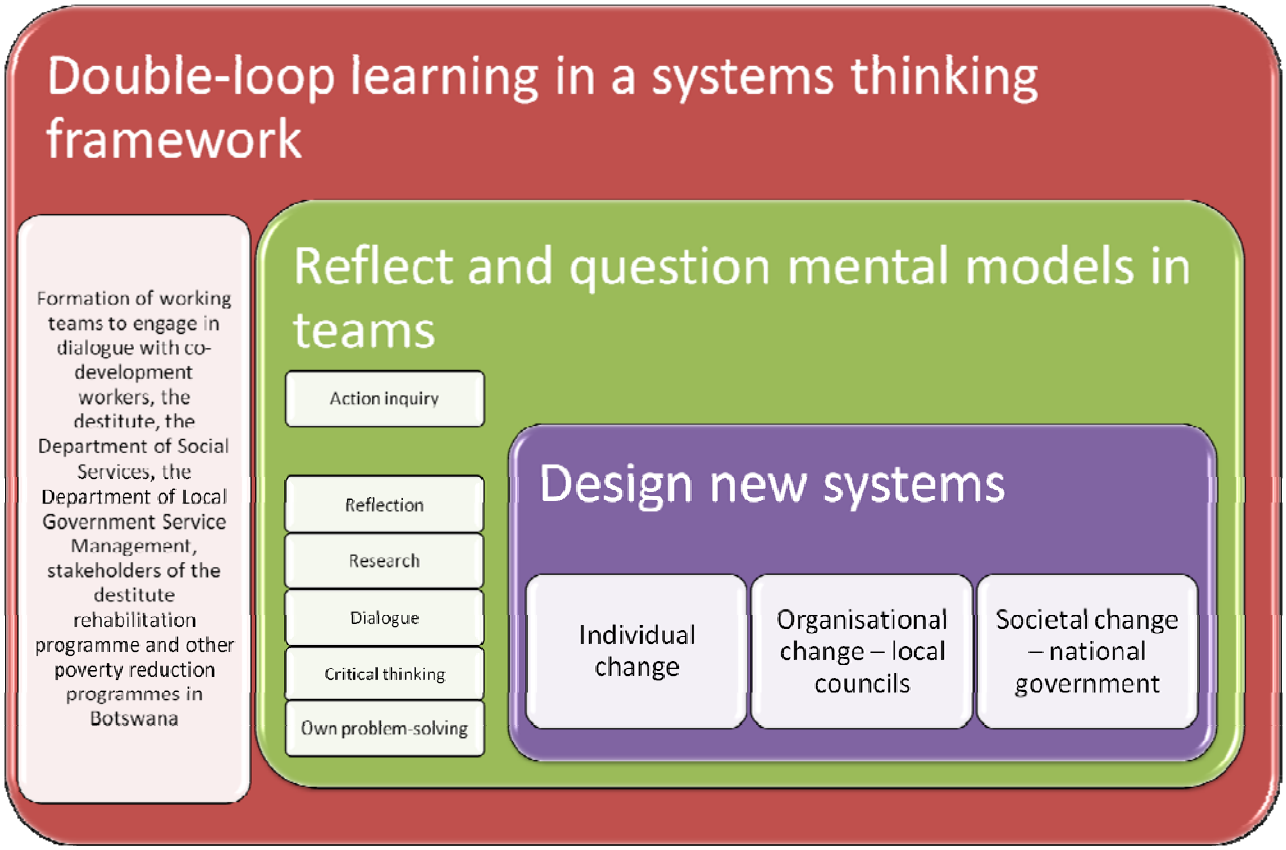



**Figure 7.6: Lifelong learning based on the findings of this research**

Application of the lifelong learning skills as suggested in Figure 7.6 will enable development workers to question their practices and to find new ways of implementing the destitute rehabilitation programme in their operational behaviour environment.

#### *7.3.3.3 How implementable are the destitute rehabilitation guidelines?*

In addition to the skills and training required by development workers (Subsection 7.3.3.2), the following aspects were identified as essential for the experts to implement the destitute rehabilitation programme and for the programme to be feasible:

- an operational functioning structure that supports development workers to give priority to destitute rehabilitation;
- availability of resources in terms of funds and human resources;
- networking with role players in terms of government departments and technical experts;
- support received during implementation of the destitute rehabilitation programme by the policy-makers (DSS) through the implementation of the integrationist policy-implementation model;
- development workers' ability to work collectively as teams; and

- time spent on destitute rehabilitation and the development of relationships with the destitute.

Table 7.15 summarises the actual situation related to the above-mentioned aspects that influence the implementability of the destitute rehabilitation programme.

**Table 7.15: CSH outline related to the implementability of the destitute rehabilitation programme**

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| The operational behaviour environment does not support destitute rehabilitation. | The problems related to the operational functioning structure are not communicated to DLGSM by DSS and S&CD council managements.<br>Supervisors are not able to help development workers to set goals in the absence of specific job descriptions (Subsection 6.3.4).<br>Development workers describe themselves as unable to take initiative in setting their own goals with tasks and responsibilities expected of them.<br>(Table 7.11) | An operational functioning structure for destitute rehabilitation is developed, which includes assigning of:<br>• a coordinator for destitute rehabilitation at each council that is solely responsible for destitute rehabilitation;<br>• specific destitute rehabilitation tasks to each discipline according to its field of specialisation; and<br>• supervisors who are equipped to lead development workers through the destitute rehabilitation process.<br>(Table 7.11) |
| There are not adequate networking systems in place, which results in a lack of collaboration between development workers and stakeholders.<br>Development workers do not have networking skills<br>(Subsection 6.3.6). | The inter-relationships between the stakeholders in the destitute rehabilitation system are not identified by development workers to build relationships.<br>Development workers are not exposed to networking skills during tertiary training. In-service training has not been provided to develop networking skills. | Stakeholders support the destitute rehabilitation process through the:<br>• sharing of resources (transport and funds); and<br>• provision of expert advice during the rehabilitation process.<br>Development workers understand the destitute rehabilitation system and have networking skills to develop relationships with the relevant stakeholders in the system. |
| Development workers are not able to influence their operational behaviour environment. | Development workers do not engage in reflective practices, dialogue and critical thinking to set achievable goals related to destitute rehabilitation and to act upon it. Development workers are therefore disempowered by the operational environment instead of influencing their | Development workers benefit by the destitute rehabilitation programme through engaging in reflective practices, critical thinking and dialogue to question:<br>• their attitudes towards destitute rehabilitation and their operational behaviour environment;<br>• their perspectives of the |

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| | environment to accomplish their goals. | destitute; and<br>• the community development approaches they are applying.<br>(Table 7.7) |
| Development workers do not receive adequate support from their supervisors during the implementation of the destitute rehabilitation programme. | There is inadequate communication and feedback between supervisors and development workers (Subsection 6.3.4).<br>The lack of supervision is connected to the lack of job descriptions (Subsections 6.3.4 and 7.2.2). | A supervisor-supervisee support system is developed that includes:<br>• expert supervision;<br>• relationship building between supervisors and supervisees;<br>• mentoring to ensuring the practising of lifelong learning skills; and<br>• enabling of development workers to set goals related to the rehabilitation process in the absence of job descriptions. |
| Development workers do not work collectively as teams in implementing the destitute rehabilitation programme since:<br>• they do not understand the relationship that is required between team members;<br>• they do not understand the functions that they need to play in destitute rehabilitation; and<br>• a mutual sharing of responsibilities and workload between development workers is lacking (Subsection 6.3.3). | Development workers view the lack of teamwork as a result of a lack of resources and inadequate staff welfare (Subsection 6.3.3). This shows that they have no understanding of what their role is in changing the situation of lack of teamwork.<br>Development workers are not encouraged to engage in dialogue to understand the relationships, function and sharing of responsibilities and workload. | Development workers work collectively as teams where:<br>• each team member understands the relationship between team members;<br>• each team member understands the function he/she needs to accomplish<br>• there is coordination between team members, where all members have common goals and where all share the workload. |
| Development workers do not spend enough time with the destitute to understand their perspectives, experiences and expectations (Subsection 6.3.7). | Development workers do not engage in dialogue sessions with other development workers and key role players in destitute rehabilitation, therefore they do not understand how their decisions related to time allocations affect the system within which rehabilitation takes place. | Development workers' decisions related to allocation of time are in accordance to the critical points in the destitute rehabilitation system. |

The aspects that influence the implementability of the destitute rehabilitation programme show that the success of the destitute rehabilitation programme is related to the system within which it is implemented. In order to ensure the implementability of the destitute rehabilitation

guidelines all these aspects (as described in Table 7.15) need to be questioned by development workers by engaging in reflective practices.

#### *7.3.3.4 Summary related to the experts*

The data of this research revealed that development workers know that they are supposed to be the experts, but also that they are not able to operate as experts. Experts, based on the data, are expected to demonstrate the following skills (in addition to the skills framework in Figures 6.2 and 7.1) when engaging in destitute rehabilitation practices (Tables 7.14 and 7.15):

- ability to coordinate the destitute rehabilitation process by engaging different stakeholders in the rehabilitation process, especially in terms of technical expertise and sharing of resources;
- ability to adjust community development approaches that are applied during destitute rehabilitation based on the challenges experienced in the destitute rehabilitation environment;
- understanding of the destitute's level of readiness and expectations in order to use the most appropriate community development approach;
- development of a support system for the destitute that changes as the destitute develop;
- ability to work collectively in teams;
- ability to make decisions related to time allocation according to the key points in the destitute rehabilitation systems;
- ability to set goals together with supervisors for destitute rehabilitation;
- ability to view destitute rehabilitation as a process, by engaging the destitute in reflective practices, critical thinking, consciousness-raising, dialogue and participation (as proposed by the liberation approach) and not as an outcome (destitute exit the destitute programme); and
- engagement in reflective practices, critical thinking and dialogue to influence their challenging work environment and to be flexible and creative in order to accommodate the challenges of the work environment.

These skills can be considered components of a training/capacity enhancement framework for development workers on the individual level.

### *7.3.4 Those that are affected by the destitute rehabilitation programme*

The term *affected* refers to those whom the destitute rehabilitation programme aim to affect or to contribute to their transformation. This subsection describes:

- who the affected are;
- to what extent those affected are given the opportunity of empowerment; and
- the difference in the perspectives of the affected and the involved.

#### *7.3.4.1 Who are the affected?*

The affected, in terms of the destitute rehabilitation programme, are the destitute since the destitute rehabilitation guidelines describe strategies that will impact their lives.

The data revealed that most (62%) of the destitute interviewed want to be rehabilitated by taking part in the destitute rehabilitation programme, while 27% of the destitute want to receive material support from government while they are being rehabilitated and 11% do not want to be rehabilitated (Subsection 6.4.2). All the destitute who took part in the rehabilitation process stated that they are dependent on government to become self-sufficient (also confirmed during the focus group discussions in Phase IV). Pretty and Ward (2001) call this state of dependency of the destitute on development workers *reactive-dependency* (Subsection 2.3.2). Reactive-dependency is caused by a situation where groups form based on the prompting of an external source (for example development workers), which causes the group to look for external solutions and to depend on external facilitators. Destitute rehabilitation groups in the urban district were formed as a result of the development workers who encouraged the formation of groups, as was also prescribed by the destitute rehabilitation guidelines. The community development approaches applied by the development workers affect the degree to which the destitute are dependent on government to become self-sufficient. The ideal situation (Table 7.16) is the application of the developmental social welfare approach together with the liberation approach to encourage the destitute to become more aware of their own capabilities so that they can ultimately help other destitute groups to develop and become independent from government handouts (Pretty and Ward 2001).

**Table 7.16: CSH outline related to who the affected of the destitute rehabilitation programme are**

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| The destitute are affected by the destitute rehabilitation programme but they are not benefitting from it.<br>As the affected, the destitute are completely dependent on the development workers to reach a state of independence. | The community development approaches applied by development workers do not encourage the destitute to see their own capabilities in order to become independent. | The destitute come to the realisation of their own capabilities.<br>The destitute are helping other destitute groups to form.<br>The destitute are not dependent on outside sources for survival. |

#### *7.3.4.2 To which extent are those affected given the opportunity of empowerment from the promises of those involved?*

The destitute who took part in the rehabilitation process identified the following aspects as obstacles to the rehabilitation process:

- lack of funds;
- destitute are called for meetings but there is no progress;
- the destitute are not trained in the appropriate skills;
- the destitute feel neglected by development workers and are not well supported during the rehabilitation process; and
- the destitute feel stigmatised by the term *destitution*.

In addition, support from government has been described by the development workers and the destitute as not conducive for accomplishing rehabilitation (Subsection 7.2.1).

Independence (self-sustainability) is the goal for the destitute when they join rehabilitation programmes. During data generation (Phase I and III), there was no indication that this goal had been achieved (or was in the process of being achieved) for any of the destitute in the three districts (urban, semi-urban or rural districts) throughout the duration of the research (three years). The reasons for this have been described in Table 7.8. Table 7.17 further describes the reasons why the expectations of the destitute to be given the opportunity of empowerment have not been met.

**Table 7.17: CSH outline related to the extent to which the affected are given the opportunity of empowerment**

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| Only immediate consequences of materialistic poverty are addressed and there is no evidence that the destitute are given an opportunity to be empowered.<br>The expectations of the destitute are not met during the destitute rehabilitation process in terms of support. | The role players tend to focus on the negative attributes of the destitute to describe the failure of the destitute rehabilitation process, instead of focussing on how the system within which destitute rehabilitation is taking place can change. | The following expectations of the destitute have been taken into consideration:<br>• the destitute is exposed to available choices;<br>• they are taught particular skills;<br>• they are able to apply obtained skills;<br>• they are working in groups to learn from each other and to share ideas;<br>• they teach and support other destitute; and<br>• they accomplish independence through the rehabilitation process.<br>(Subsections 6.4.3 and 6.6.3.2).<br>The destitute are supported by development workers in terms of:<br>• gaining access to funding and other resources like transport;<br>• monitoring the destitute's progress;<br>• mentoring the destitute rehabilitation groups, sharing ideas with them and giving advice; and<br>• dealing with the challenges the destitute are experiencing.<br>(Subsection 7.2.10) |
| Destitute feel stigmatised by the destitute rehabilitation programme. | The term *destitute* is linked to:<br>• dependency; and<br>• the destitute's inability to fend for themselves. | Destitute rehabilitation is integrated with other poverty reduction programmes. |

As also described in Subsection 7.3.1.2, the destitute rehabilitation programme is intended to give the affected an opportunity to be empowered, but this has not been achieved (Table 7.17).

#### *7.3.4.3 What is the difference between the perspectives of the affected and the involved?*

The term *affected* refers to the destitute, since the destitute rehabilitation guidelines aims to affect their transformation or to contribute to it. The *involved* are the DSS, the DLGSM and

the S&CD councils, since they are responsible for the development and implementation of the destitute rehabilitation guidelines.

The difference between the perspectives of those affected and those involved in terms of their perception relating to the destitute themselves (negative attributes of the destitute), the destitute's willingness to take part in the rehabilitation process and the way the destitute view the support received by those involved in destitute rehabilitation was described in Subsection 6.4. Table 7.18 summarises these perspectives as well as the difference in perspectives in terms of the measures used by those affected and those involved to determine whether the destitute rehabilitation programme was successful or not (Subsection 7.3.1.3).

**Table 7.18: Difference between the perspectives of the affected and the involved**

| **Perspectives related to:** | **Affected (the destitute)** | **Involved (DSS, DLGSM and S&CD councils)** |
|---|---|---|
| How the affected view themselves and how those involved view the affected (destitute) | The destitute want to be rehabilitated but they are dependent on the government to accomplish self-sufficiency. | The destitute are considered as being dependent on handouts and it is assumed that they do not want to be rehabilitated. |
| Perspectives related to support | The destitute require support from the involved in terms of:<br>• obtaining access to funding and other resources like transport;<br>• monitoring their (destitute) progress;<br>• giving of advice (mentoring group);<br>• acquiring of new skills<br>• sharing of ideas; and<br>• addressing the challenges they are experiencing as groups. | The development workers know that the affected need support but they blame the lack of support on:<br>• the lack of transport and funds;<br>• insufficient numbers of development workers to monitor the progress of the destitute and to mentor them throughout the destitute rehabilitation process;<br>• development workers who do not have skills related to destitute rehabilitation; and<br>• destitute rehabilitation not being a priority and not enough time being spent with the destitute. |
| Perspectives related to measurement of the success of the destitute rehabilitation process (Subsection 7.3.1.3) | The destitute measure the success of the destitute rehabilitation programme in terms of:<br>• no longer having to depend on government;<br>• the ability to teach and support other destitute;<br>• the obtainment of skills and the ability to apply the | The involved measure the success of the destitute rehabilitation programme according to the numbers of the destitute that are de-registered from the destitute rehabilitation programme (receiving government handouts). |

| | | |
|---|---|---|
| | obtained skills; and<br>• the guidance and support provided by development workers throughout the destitute rehabilitation process. | |

The findings of this research, as outlined in Table 7.18, showed that the perception of those involved affects how the destitute (affected) perceive the rehabilitation process. However, in this research, it was not determined how the destitute's perspectives affected the development workers' practices.

The destitute who took part in the rehabilitation process showed that they wanted to be rehabilitated but they were unable to accomplish independence (self-sufficiency). They described the lack of support by development workers and the lack of funds as impediments to accomplishing the goal of independence.

It was confirmed in Phase IV (dialogue session with development workers and destitute) that the involved think that the destitute do not want to be rehabilitated and that they only want to engage in projects that will give them quick cash. In the same focus group discussion, the destitute indicated that they want to be rehabilitated and that they only want cash to start the rehabilitation projects. The only fear for the destitute is that the benefits they are receiving from government will be terminated before they have become self-sufficient. However, it is evident in the destitute rehabilitation guidelines, as confirmed by the DSS, that the destitute are only allowed to be terminated as destitute once they are self-sufficient The destitute rehabilitation guidelines state that the destitute should engage in a "gradual termination process when it is evident that a level of independence has been reached" (Ministry of Local Government 2002a:6).

A better understanding of the difference in terms of perceptions between those affected and those involved will enable those involved to reflect upon their perspectives relating to the destitute instead of accepting such perspectives as truth. Policy-makers from the DSS indicated, for example during the focus group discussion in Phase IV, that they were not aware of how their method of measuring the success of destitute rehabilitation programmes affect the destitute rehabilitation process.

It is thus suggested to engage those affected and those involved in dialogue processes, to enable them to reflect on their perceptions and attitudes, as these determine their actions (as part of the integrationist policy-implementation model).

**Table 7.19: CSH outline related to the difference between the perspectives of the affected and the involved**

| Actual | Reasons for the gap between the actual and the ideal | Ideal |
|---|---|---|
| Table 7.18 | Development workers do not understand the perspectives, experiences and expectations of the destitute because:<br>• they have not spent enough time with the destitute (Subsection 6.3.7); and<br>• there is no cohesion between development workers and the destitute (Subsections 6.3.3, 6.6.3.2 and 7.2.5). | Development workers understand the situation of the destitute and develop beneficial approaches and activities accordingly.<br>Development workers and other key role players engage in practices that address the difference between perspectives. |

The following practices may be encouraged when taking the conflict between the affected (destitute) and the involved (role players) into consideration in terms of difference in perspectives (Table 7.18):

- the emphasis of destitute rehabilitation to be on the experiences of the destitute and the development workers during the rehabilitation process rather than on the mere execution of the destitute rehabilitation guidelines (as promoted through the integrationist policy-implementation model);
- the destitute themselves need to understand the process of rehabilitation and the milestones of accomplishment that they can expect;
- development workers need to create an environment that takes the destitute's level of readiness (in terms of their ability to identify choices they have and to act upon those choices) as well as their expectations into consideration, for example, the destitute want to be exposed to possible choices, they want to be guided, taught and supported by development workers and they want to experience self-sufficiency as a result of rehabilitation; and
- all the key role players need to support development workers to create a supportive operational behaviour environment for implementing the holistic empowerment model (based on the implementation of the four community development approaches, Subsection 2.3.2).

#### *7.3.4.4 Summary related to the affected*

The data from this research revealed that the destitute depend on the development workers to become self-sufficient, but the development workers do not believe that the destitute want to be rehabilitated. However, the destitute do not experience the benefit of the destitute

rehabilitation programme that was intended for them. The problem is that the involved tended to focus on the negative attributes of the destitute to describe the failure of the destitute rehabilitation process instead of focussing on how the system can change. In addition, the development workers who are supposed to empower the poor, view themselves as disempowered (Subsection 6.6.4).

This emphasises again that destitute rehabilitation cannot focus only on creating guidelines for the way the destitute need to be rehabilitated but it should also take the system within which destitute rehabilitation is taking place into consideration.

## 7.4 Summary

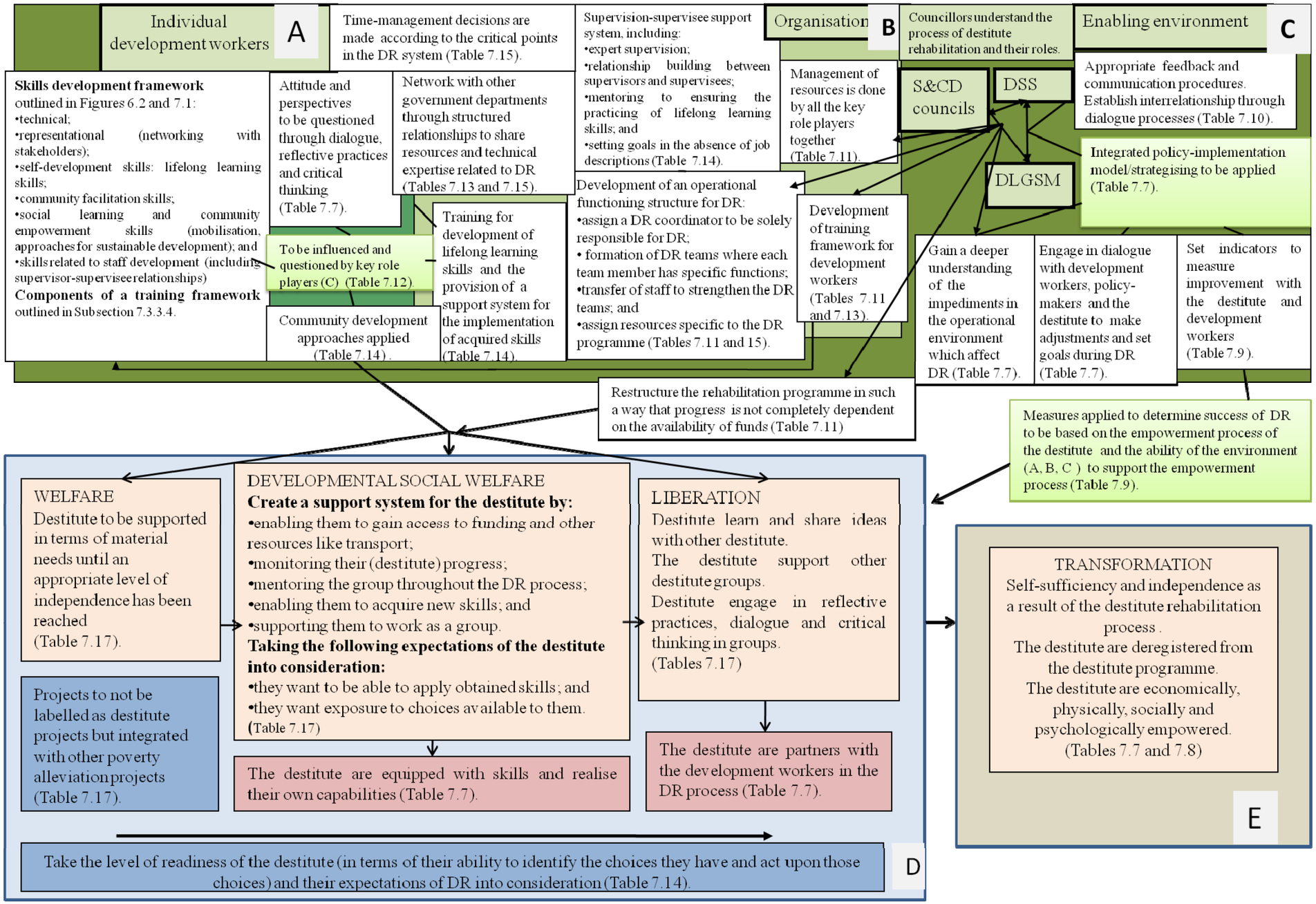
This chapter aimed to provide insight into the whole system that is affecting destitute rehabilitation. In order to accomplish this, the data related to focus group discussions with development workers, the destitute, the DLGSM, the DSS, S&CD council management and the village VDCs/WDCs were used to develop a theory relating to capacity enhancement of development workers. In terms of contribution to a theory for capacity enhancement, the data related to:

- the development workers and the destitute brought new insight on the rehabilitation process and it was established whether it confirmed data generated in Phase I;
- village and ward committees did not make a contribution to understand transformation that needs to take place in the destitute rehabilitation process in order for capacity enhancement to be encouraged;
- the DLGSM contributed to an understanding of human resource issues;
- the DSS contributed to an understanding of how they experience the policy-making environment; and
- S&CD council management represented the development workers as decision-makers and supervisors as regards destitute rehabilitation.

Based on the understanding that emerged through the application of critical systems heuristics, a conceptual framework for the capacity enhancement of development workers in Botswana has been developed (Figure 7.7). Figure 7.7 has evolved based on:

- the theoretical framework (Figure 4.6);
- Figures 6.4 and 7.5 (main concepts that emerged during Phases I and III in terms of the theoretical framework); and

- primarily the critical systems heuristic outlines that describe the ideal situation of destitute rehabilitation (Tables 7.7–7.17 and 7.19).




DR: Destitute rehabilitation

**Figure 7.7: Conceptual framework based on the application of critical systems heuristics**

Where Figures 6.4 and 7.5 depicted the actual situation related to destitute rehabilitation in Botswana, as based on the findings of this research, Figure 7.7 depicts the ideal situation.

The conceptual framework serves as a means to create circumstances in which all role players involved in destitute rehabilitation can engage in dialogue to inform adjustments and change in the destitute rehabilitation process.

The main objective of the research has been achieved through the development of the conceptual framework (Figure 7.7) for the capacity enhancement of development workers during destitute rehabilitation. This was done through in-depth understanding of the practices, experiences and views of development workers, the destitute and other role players involved in destitute rehabilitation (Chapters 6 and 7).

The next chapter gives a synthesis of the literature review and the main findings of this research. It also outlines the main conclusions of this research and describes recommendations for theory, practice, policy development and further research.

*Chapter 8*

# SYNTHESIS, CONCLUSIONS AND RECOMMENDATIONS

## 8.1 Introduction

The main objective of this research was the development of a conceptual framework for capacity enhancement of development workers in Botswana through in-depth understanding of the perspectives, practices and experiences of the key role players involved in destitute rehabilitation. This research was conducted in an urban, semi-urban and rural district in Botswana to inform destitute rehabilitation practices that may contribute to the destitute becoming self-sufficient or independent from government support.

In order to accomplish the main objective of this research, the sub-objectives were to:

1. understand the destitute rehabilitation programme in terms of its implementing processes;
2. understand development workers' perspectives, practices and experiences related to their relevant internal and external behavioural environments, the interaction between the environments and the way this influences the development workers' destitute rehabilitation practices;
3. understand the perspectives, practices and experiences of the destitute regarding their state of destitution and the destitute rehabilitation process;
4. understand the policy-makers, human resource officers, council management and village and ward development committees' perspectives, practices and experiences related to destitute rehabilitation;
5. develop the methodology of this research through different phases to increase depth of understanding related to capacity enhancement of development workers; and
6. develop a conceptual framework for the capacity enhancement of development workers, through critical systems heuristics.

These sub-objectives were addressed in an action research framework which drew from the coding principles of grounded theory and systems theory to interpret the data and to develop a conceptual framework for capacity enhancement of development workers.

This chapter comprises a summary of the literature reviewed in terms of capacity enhancement of development workers in a systems thinking framework and the conceptualisation of poverty and poverty strategies. It also includes descriptions of the methodologies applied, a synthesis of the methodological framework of this research, the conclusions and recommendations for further research.

## 8.2 Summary of the related literature

The literature review (Chapters 2 and 3) is summarised in this section by looking at empowerment of the destitute as a holistic approach, poverty reduction in Botswana, a systems thinking framework for the capacity enhancement of development workers and strategies for the capacity enhancement of development workers.

### *8.2.1 Empowerment of the destitute as a holistic approach*

The outcomes of poverty reduction programmes are directly linked to the community development approaches that are used to bring about empowerment of the destitute. Four approaches can be distinguished, namely the welfare, developmental social welfare (DSW), liberation and transformation approaches (Subsection 2.3.2).

The welfare approach (Subsection 2.3.2.1) refers to the immediate intervention by government or development organisations to relieve the symptoms caused by poverty (Hope and Timmel 1984; Korten 1990). This approach is expected to address material poverty (Forje 2004). The DSW approach (Subsection 2.3.2.2) concentrates mainly on the teaching of skills and knowledge to individuals and families so that they will be able to help themselves. This approach is expected to address capability poverty (Sen 1993) (Subsection 2.2.2.2) and psychological poverty (Underlid 2006; Narayan and Petesch 2002) (Subsection 2.2.2.3), since it encourages increased feelings of self-efficacy, self-worth and competency (Albertyn 2005).

The liberation approach (Subsection 2.3.2.3) aims to move beyond the DSW approach by enabling different groups to express their insights, expectations and reasons for action. Participatory poverty (Subsection 2.2.2.4) and psychological poverty (Subsection 2.2.2.3) may be addressed through the liberation approach, since the latter focusses on the sharing of participants' own views and experiences in group format.

The transformation approach (Subsection 2.3.2.4) involves not only participation in decision-making processes and questioning of values, beliefs or distorted assumptions (as is the case with the liberation approach), but also the transformation or changing of perspectives, behaviour, cultural beliefs, attitudes and values (Hope and Timmel 1984; Korten 1990).

The expectation is that the welfare and the DSW approaches will give communities access to resources and capabilities, that the liberation approach will provide a process for development whereby community members will be able to define their own goals and act upon them and that the transformation approach will enable communities to have greater control over access to resources.

### *8.2.2 Poverty reduction in Botswana*

In Botswana, the actual situation is that poverty is measured in terms of:

- income levels;
- the level of the capability of people to sustain themselves; and
- the ability of communities to participate in decision-making processes (Siphambe 2003).

This way of measuring poverty allows the government of Botswana to measure material poverty, capability poverty and participatory poverty (Subsection 2.2.2). The success of measuring participatory poverty has not been established and it is evident that women and vulnerable groups do not benefit from the government of Botswana's effort to address participatory poverty (Siphambe 2003). A fourth type of poverty as identified in literature, namely psychological poverty (Subsection 2.2.2.3), is not taken into consideration by the government of Botswana when measuring poverty. An understanding of psychological poverty may lead to an understanding of the perspectives and experiences of the poor, which can explain the deeper causes of material, capability and participatory poverty.

The government of Botswana's poverty reduction approach consists of three elements to address the consequences of poverty (Johannesburg Summit 2002; UNDP 2005). The first two elements focus on addressing capability poverty, and the third element focusses on addressing material poverty (Subsection 2.4.2).

The guidelines that prescribe destitute rehabilitation (Ministry of Local Government 2002a) mainly encourage the application of the welfare and developmental social welfare approaches. Depending on how activities like self-monitoring, evaluation and work in autonomous groups

are implemented, such activities may be related to the application of the liberation approach. No reference is made to the transformation approach in the rehabilitation guidelines. The transformation approach should encourage the destitute to question and change their perspectives, behaviour, cultural beliefs, attitudes and values (Hope and Timmel 1984; Korten 1990).

The success of destitute rehabilitation in Botswana is not only dependent on the approaches applied by development workers during the rehabilitation process but also on the wider system within which it is implemented. The purpose of this research was to develop a conceptual framework to enhance the capacity of development workers in order to implement the destitute rehabilitation programme. It is therefore important to understand capacity enhancement of development workers in a systems thinking framework.

### *8.2.3 Systems thinking framework for the capacity enhancement of development workers*

The UNDP (1998:7-10) has set a framework to understand capacity enhancement of development workers in a systems framework at three different levels: the broad system (enabling environment), the entity (organisation), and the individual level. Milèn (2001) emphasises the importance of capacity enhancement in a systems thinking framework, since such framework enables the identification of root causes for capacity constraints. This ensures that long-term solutions rather than temporary quick-fix solutions are sought (Maani and Cavana 2000).

Systems thinking theory is described by Ackoff (1981), Checkland (1981) and Bawden (1997), as an effective approach to use when the goal is to understand the adaptive whole by examining firstly the parts that form the whole and secondly the features of the whole. This view of Bawden, Ackoff and Checkland implies that capacity enhancement of development workers should not merely focus on one aspect that affects development workers' practices, but that the entire system within which they (development workers) are operating should be taken into consideration.

In order to understand how a system operates, it is essential to understand the input, throughput and output of the system (Haines 2000) as well as the interrelatedness between the parts of a system which reveals the complexity of the system. When studying a human activity system, it is important to take not only the technical aspects of such system into consideration but also to consider the context, for example the social context, within which

knowledge is generated. This includes contextual issues like power, organisational purpose and processes (Panagiodtidis and Edwards 2001).

One such approach that takes the contextual issues into consideration is critical systems heuristics (CSH) (Subsection 3.2.4.4). CSH enables the discovery of relevant problem aspects, assumptions or strategies in order to understand complex situations (Ulrich 2005). CSH is specifically employed in this research to understand the social roles of those involved in destitute rehabilitation. The latter include the beneficiaries, owners, experts and those affected.

### *8.2.4 Strategies for the capacity enhancement of development workers*

Wessels (2000) emphasises that the environment within which public officers function is ever changing, therefore public officers can no longer rely on traditional subject-based or technical education to prepare them for their careers. The application of a lifelong learning approach is for that reason required, to take the changing environment into consideration (Wessels 2000).

Tertiary education for the training of development workers, which is underpinned by the radical adult education philosophy (Subsection 3.3.3.1[i]), is viewed primarily as a vehicle to encourage lifelong learning since it focusses on engendering social change and the development of social capital.

The development of lifelong learning skills as part of employee development can be induced through an open systems learning framework and the creation of a learning organisation (Subsection 3.3.2.1). Both the open systems learning framework and learning organisations encourage the application of methods of action inquiry, including reflective practices, critical thinking and dialogue.

## 8.3 Methodological framework of this research

This qualitative research was linked to the interpretivist paradigm since part of the main objective of this research was to understand the perspectives, practices and experiences of the key role players involved in destitute rehabilitation. As a result of the emerging of this understanding, a conceptual framework for the capacity enhancement of development workers in Botswana was depicted. In order to implement the main objective of this research, action research was employed as the methodology of this research, and this drew from the coding principles of grounded theory and systems theory.

This research took place in four phases, all of which were informed by the action research approach. The first phase involved four cycles of action research, which was carried out with the development workers during implementation of the destitute rehabilitation programme. The second phase included an elaborated and comprehensive literature review to develop the theoretical framework. The literature review stimulated reflection that resulted in the changes that were made to the methodological framework after the first phase.

During the third phase, focus group discussions and interviews were conducted to understand the perspectives, practices and experiences of the key role players in destitute rehabilitation. The data produced in these discussions enabled deeper understanding of how the capacity of development workers was influenced by the organisational system within which they were operating. In the fourth phase, coding principles of grounded theory were used to make further sense of data related to the first and third phases. CSH was then applied to synthesise the data through the development of CSH outlines. Focus group discussions were applied in Phase IV with the key role players (except village and ward development committees) to establish whether the content of the CSH outlines accorded with their experiences. This was followed by the development of a conceptual framework.

## 8.4 Synthesis of the findings of this research

This subsection focusses on the synthesis of the findings of this research. The six sub-objectives of this research form the outline of the subsequent subsections (8.4.1 to 8.4.6).

### *8.4.1 Understanding the destitute rehabilitation programme in terms of its implementing processes (Sub-objective 1)*

Sub-objective 1 sought to bring about an understanding of the destitute rehabilitation programme in terms of the implementation processes. Addressing of this sub-objective is described in terms of implementation of the destitute rehabilitation guidelines and the measurement of the effectiveness of the destitute rehabilitation programme.

#### *8.4.1.1 Implementation of the destitute rehabilitation guidelines*

The literature review outlined factors that need to be in place to ensure successful implementation of policies (Bain 1987; Crosby 1996; Gerston 2004; Lakwo 2004). The findings of the current research revealed specific aspects that influence implementation of the policy guidelines. Table 8.1 describes the relation between what the literature reveals in terms of best implementation practices and findings of the current research. It also describes

changes that are suggested to bridge the gap between what the literature suggests is best practices and the findings of this research.

**Table 8.1: Summary of changes required for implementation of the destitute rehabilitation guidelines**

| Requirements of the implementation of the destitute rehabilitation programme based on literature (Subsection 3.3.1.1) | Implementation of the guidelines based on the findings of this research | Suggestions for change based on the conceptual framework (Figure 7.7) |
|---|---|---|
| Policies need to be accurate, clear and consistent and need to specify the aims of the decision-makers. | Destitute rehabilitation guidelines were described as unclear and development workers did not know what was expected of them (Subsections 6.5 and 7.2.6.). | The problem with unclear destitute rehabilitation guidelines could be solved by encouraging dialogue between development workers, policy-makers and the destitute during the destitute rehabilitation process in order to clarify ambiguity (Figure 7.7 C and Tables 7.7 and 7.10). |
| Provision of:<br>• adequate incentives for development workers;<br>• sufficient resources to implement the programme. | According to development workers, incentives are not in line with large workload (Table 6.4).<br>Funds are not easily assessable to sustain the rehabilitation process (Subsections 6.3.1.4 and 7.2.1).<br>Transport is not easily available to carry out destitute rehabilitation activities (Subsections 6.3.1.2 and 7.2.1). | No solutions to solve the problem of a lack of incentives could be established.<br>The application of appropriate feedback structures and communication procedures relating to distribution of funds is suggested (Figure 7.7 B and C and Table 7.11).<br>S&CD councils to be sharing vehicles with other departments (Figure 7.7 B and C and Table 7.11).<br>Transport needs to be allocated specifically for destitute rehabilitation (Figure 7.7 B and Table 7.11). |
| Good quality of staff, relationships with other organisations and supportive supervision. | Development workers are not able to apply obtained skills in their operational behaviour environment (Subsections 6.6.1.2 and 7.2.4).<br>Inadequate networking with other stakeholders and departments in order to share transport and technical expertise (Subsections 6.3.6 and 7.2.4).<br>Supervisor-supervisee relationships were described as unsupportive for destitute rehabilitation (Subsection 6.3.4). | Components to be included in a training framework for development workers are described in Subsection 7.3.3.4 and Tables 7.14 and 7.15.<br>Development workers need to understand the destitute rehabilitation system and to apply networking skills in order to develop relationships with the relevant stakeholders in the system (Figure 7.7 B and Table 7.15).<br>Aspects to improve supervisor-supervisee relationships are outlined in Figure 7.7 B and Table 7.14. |
| Development workers' ability to implement | Mostly the welfare and developmental social welfare | Components which should be included in order to lead the destitute |

| Requirements of the implementation of the destitute rehabilitation programme based on literature (Subsection 3.3.1.1) | Implementation of the guidelines based on the findings of this research | Suggestions for change based on the conceptual framework (Figure 7.7) |
|---|---|---|
| the destitute rehabilitation programme as was intended.<br>Development workers' attitude and disposition support the expectations of the destitute rehabilitation programme. | approaches were applied whereas the ideal is to implement the liberation and transformation approaches to bring about empowerment (Subsections 6.6.3, 7.2.8 and Figure 7.7 D and E).<br>Development workers' attitudes and perspectives relating to the destitute rehabilitation process are described in Table 6.4, Figure 7.3 and Subsections 6.6.4 and 7.2.5. | to independence through the different development strategies are described in Figure 7.7 D and Tables 7.14 and 7.17).<br>It is suggested that development workers be exposed to reflective practices, critical thinking and dialogue in an action inquiry framework in order to question their attitudes and perspectives (Figure 7.7 A and Tables 7.13 and 7.14). |
| | Development workers have not received adequate support and mentoring from policy-makers during destitute rehabilitation as described in Subsection 7.2.6. | It is suggested that policy-makers, development workers and the destitute engage in dialogue to strategise the implementation of destitute rehabilitation programme (Figure 7.7 C and Tables 7.7 and 7.10). |

An additional factor that was implied by the literature (Table 8.1, last column), but which was not specifically listed as a factor that influences successful implementation, was the relationship between policy-makers and policy implementers. The findings of the current research showed that development workers feel that the support and mentoring they receive during policy implementation are inadequate. It is seen as essential that policy-makers move beyond a procedural approach when developing policies, such as merely consulting development workers when the policy is revised, to encouraging policy strategising. Policy strategising allows employees at different levels to engage in creating future options, as they implement the policies (Scholes 2005). This means that development workers and other role players involved in destitute rehabilitation are setting their own goals during destitute rehabilitation as a result of strategising. Policy strategising is also related to the integrationist policy-implementation model that suggests that policy-makers play an active role in policy implementation. This means that policy-makers monitor the destitute rehabilitation process and help policy implementers to make adjustments to the destitute rehabilitation guidelines (Subsection 7.3.1.1).

#### *8.4.1.2 Measurement of the effectiveness of the destitute rehabilitation programme*

An aspect that influences the effectiveness of the destitute rehabilitation programme is the way that effectiveness or success is measured by the policy-makers. The destitute rehabilitation guidelines describe that the destitute need to be gradually removed from the destitute programme in order for them to reach a level of independence. However, it became evident that policy-makers and development workers measure the success of the destitute rehabilitation programme in terms of the numbers of registered destitute who are de-registered from the programme after having been granted the provision of government support. This causes policy-makers and development workers to look for ways to let the destitute exit the destitute programme rather than to change the process of generating rehabilitation (Subsection 7.3.1.3). This may result in destitute that require to be registered as destitute again. The dropping of numbers in this case is thus only temporarily.

The most recent destitute rehabilitation guidelines describe the process of the destitute exiting the destitute programme (Ministry of Local Government 2002a). However, the focus should also be on the destitute's experiences of destitute rehabilitation to measure success and to determine whether it enables the destitute to become self-sufficient and independent from government support.

The destitute linked the effectiveness of the application of the destitute rehabilitation programme to:

- development workers' ability to provide them (destitute) with support such as mentoring and technical support related to rehabilitation projects while they are taking part in rehabilitation;
- access to funding and other resources like transport;
- equipping the destitute with the skills they do not possess, to enable them (the destitute) to become independent of government support;
- enablement of the destitute to teach and support other destitute people; and
- enablement of the destitute to become independent of government handouts.

In addition, the destitute want to be exposed to choices that exist, be able to apply taught skills, and they want to work in groups to learn from each other and to share ideas.

The destitute thus concentrate on the process which they want to be exposed to during the rehabilitation process as well as the expected end results.

### *8.4.2 Understand development workers' perspectives, practices and experiences related to their relevant internal and external behavioural environments (Sub-objective 2)*

Sub-objective 2 aimed to understand development workers' experiences and views related to their applicable internal and external behavioural environments, the interaction between the environments and the way this influences the development workers' destitute rehabilitation practices. Addressing this sub-objective brought understanding of aspects to be included in order to enhance the capacity of development workers.

The UNDP (1998) outlined five elements of capacity enhancement of development on individual level. Table 8.2 outlines these five elements (UNDP 1998) in relation to the findings of this research.

**Table 8.2: The capacity of development workers to implement the destitute rehabilitation programme**

| UNDP (1998) | FINDINGS OF THIS RESEARCH – ASPECTS TO DETERMINE THE CAPACITY OF DEVELOPMENT WORKERS |
|---|---|
| The individual's capacity to function effectively and efficiently in the organisation and in the environment | • **Application of lifelong learning skills:**<br>Development workers' ability to engage in reflective practice, critical thinking, dialogue and research in a lifelong learning framework which will enable them to influence their operational behaviour environment (Tables 7.13 and 7.14).<br>• **Development workers' understanding of the destitute:**<br>Development workers' ability to make adjustments to the rehabilitation process based on the level of readiness of the destitute (in terms of their ability to identify choices they have and to act upon those choices) and the expectations of the destitute (Table 7.14).<br>• **Ability to manage their time:**<br>Development workers' ability to make decisions related to the allocation of time in accordance to the critical points in the destitute rehabilitation system (Table 7.15). |
| Performance required for particular functions (in this case destitute rehabilitation) | • **Application of community development approaches:**<br>The ability to apply the relevant community development approaches in the destitute rehabilitation process according to development workers' understanding of the destitute and the environment within which rehabilitation takes place (Table 7.14).<br>• **Development workers' ability to apply obtained skills:**<br>Development workers' ability to apply the skills relevant to destitute rehabilitation in the challenging operational behaviour environment within which destitute rehabilitation is implemented. (Table 7.14).<br>• **Ability to create a support system for the destitute:**<br>Development workers' ability to create a suitable support system for the destitute, including technical support and mentoring for the destitute during the rehabilitation process (Table 7.17). |
| Access to information | • **Ability to network with stakeholders:**<br>Development workers' ability to network with stakeholders and technical experts |

| UNDP (1998) | FINDINGS OF THIS RESEARCH – ASPECTS TO DETERMINE THE CAPACITY OF DEVELOPMENT WORKERS |
|---|---|
| | who can contribute to the establishment of rehabilitation projects (Table 7.15). |
| Values and attitudes | • **Perspectives and attitudes of development workers:**<br>Development workers' perspectives of the destitute and their attitudes towards the destitute rehabilitation process (Tables 7.18 and 7.19). |
| Inter-relationships and teamwork | • **The relationship between development workers and their supervisors:**<br>The ability of development workers and their supervisors to set goals together for destitute rehabilitation and the supervisor's ability to mentor development workers to achieve the goals (Table 7.15).<br>• **Ability to communicate effectively:**<br>Development workers' ability to understand the key activities in the destitute rehabilitation process and to communicate effectively with the key role players responsible for these key activities (Tables 7.11 and 7.15).<br>• **Ability to work collectively as teams:**<br>Development workers' understanding of the relationships between team members and the function that each team member should play as well as the development workers' ability to set goals together and share workload (Table 7.15). |

Based on the findings of this research, the capacity of development workers to implement the destitute rehabilitation programme is dependent on the aspects described in Table 8.2. These aspects also need to be taken into consideration when developing a training framework for capacity enhancement of development workers.

#### *8.4.2.1 Capacity enhancement of development workers at individual level*

In addition to the aspects outlined in Table 8.2, a skills framework was developed (based on the finding of this research [Figures 6.2 and 7.1] and the literature review [Figure 3.8]) to outline skills required by development workers when implementing the destitute rehabilitation programme guidelines.

The literature review suggested that formal training takes place according to the radical adult education philosophy when the goal is to encourage the development of social capital (Subsection 3.3.3.1[i]). Development of social capital is encouraged by involving participants in participatory activities which can lead to organisational and societal empowerment (Subsection 3.3.3.1[i]). The findings of this research revealed that development workers need to be exposed to a formal education framework that will prepare them for the challenging operational behaviour environment within which they implement the destitute rehabilitation programme. The formal education framework needs to equip development workers to:

- share in group discussions how the theory, as obtained through formal lectures, relate to their experiences (actions) so that learning from experience can take place. This will

enable development workers to implement theory in a practical context and complex environment (Subsection 7.2.7);

- make adjustments to the destitute rehabilitation guidelines during implementation to accommodate the challenges experienced in the operational behaviour environment by applying lifelong learning skills such as reflective practices, dialogue and critical thinking and by engaging in research activities and their own problem-solving (Table 7.14); and
- question their practices, attitudes and perspectives relating to the implementation of rehabilitation programmes and questioning their current reality (actual situation) by comparing it with the ideal, and to strategise improved action to influence situations towards the desired future (Table 7.14).

The preparation of development workers in tertiary education to apply lifelong learning skills is for the purpose of enabling development workers to participate in their own development in terms of self-awareness, self-control and self-understanding (Mezirow 1991; Cranton 1996; McGregor 1997). Such education will assist development workers to question their own attitudes, perspectives and assumptions in order to gain deeper understanding of the current reality and the envisaged future of the implementation of destitute rehabilitation programmes (Mezirow 1991; Elias and Merriam 1995).

Application of the integrationist policy-implementation model (Subsection 3.3.1.1[i]) is connected to the application of lifelong learning skills. The integrationist policy-implementation model encourages development workers to continuously engage in dialogue and reflective practices during the implementation of the destitute rehabilitation programme together with the other role players in order to:

- set their own goals during implementation of the destitute rehabilitation guidelines; and
- seek for the deeper causes that hinder destitute rehabilitation in order to design new systems (double-loop learning) (Subsection 3.3.2.1[i]).

#### *8.4.2.2 Community development approaches applied by the development workers*

The literature review (Subsection 2.3.2 and Figure 2.5) revealed community development approaches that need to be applied in order to lead the destitute from a place of dependency to a place of active participation in their own development process. The reason for this is to enable the destitute to gain greater control of their livelihood assets. The findings of this

research revealed that only the welfare and developmental social welfare (DSW) approaches were applied by development workers, as prescribed by the destitute rehabilitation guidelines (Subsection 6.6.3). However, the application of the DSW approach did not bring about the acquisition of skills to engage in income-generation projects. Figure 8.1 depicts the relationship between the community development approaches (according to Figure 2.5) applied and the destitute's level of dependency on the development workers, as based on the findings of this research and literature.

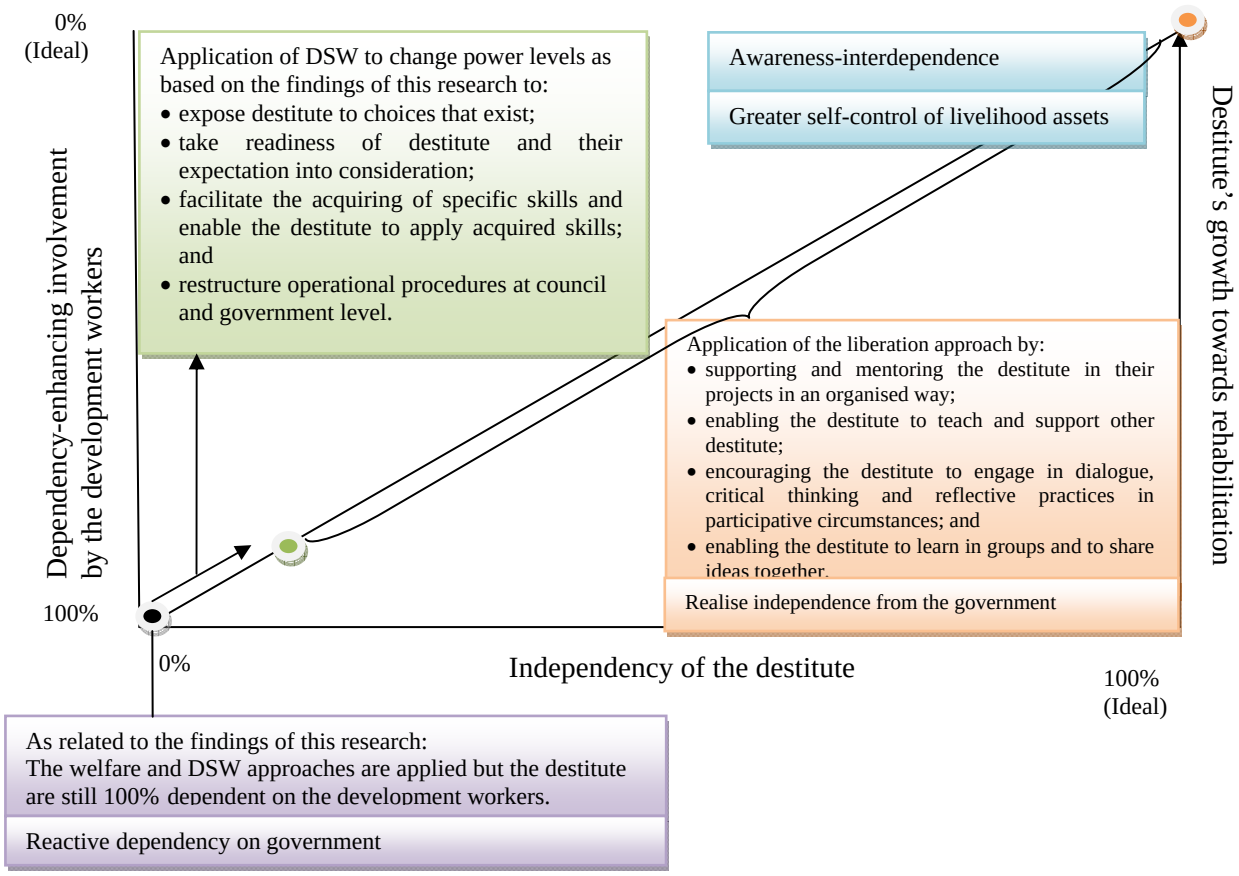



**Figure 8.1: The relationship between the dependency-enhancing involvement of development workers during destitute rehabilitation and the independence of the destitute**

As reflected in Figure 8.1, as the development workers' dependency-enhancing involvement during destitute rehabilitation decreases, the destitute's independence increases. The findings of this research revealed that the destitute are dependent on the development workers in order to become totally independent from government handouts (the number 100% is used to illustrate the point). This dependency (reactive-dependency [Subsection 2.3.2]) of the destitute did not change during the process of implementation of the destitute rehabilitation programme. As reflected in Figure 8.1, the findings of this research suggested several

principles that need to be taken into consideration in order for the destitute to change from reactive-dependency to a state of realisation-independence and eventually awareness-interdependence (Subsection 2.3.2). Awareness-interdependence refers to a state where the destitute are not dependent on either the development workers or the government and where they (the destitute) realise the importance of sharing learning experiences with their peers.

The process to be applied by development workers to encourage the destitute to change from reactive-dependency to realisation-independence does not suggest the application of a top-down approach (Figure 8.1). It rather suggests that development workers understand the level of readiness of the destitute (in terms of their ability to identify choices they have and to act upon those choices) and their expectations in order to increase their capabilities accordingly. As the destitute develop their capabilities, their relationship with development workers will change from a total dependency on development workers to a partnership with them.

### *8.4.3 Understanding the perspectives, practices and experiences of the destitute regarding their state of destitution and the destitute rehabilitation process (Sub-objective 3)*

A destitute person in Botswana is understood to be an individual who is disabled and/or unable to engage in sustainable economic activities, causing such person to have insufficient assets and income sources. The findings of this research (Appendix 12) showed that most of the destitute interviewed ascribed their state of poverty to a lack of material necessities, poor health and a lack of employment opportunities. This shows the destitute's need for material support from government since they have no means to provide for themselves.

However, most of the destitute interviewed indicated that they would like to be assisted by development workers to accomplish independence of government support. Four of the thirty-six destitute interviewed indicated that they do not want to be rehabilitated. This concurs with a study by Brown (2005), which showed that the destitute adopt poverty as part of their identity as they feel trapped in the poverty cycle.

Assistance required by the destitute of the development workers is connected to the obtainment of access to funds, monitoring of their progress, ongoing mentoring of the destitute rehabilitation groups and enabling the destitute to deal with challenges they are experiencing as groups. In addition to the support that the destitute require, the following expectations of the destitute in terms of the destitute rehabilitation process became evident:

- they want exposure to available choices;

- they want someone to teach them particular skills;
- they want to be able to apply taught skills;
- they want to work in groups in order to learn from each other and share ideas;
- they want to teach and support other destitute; and
- they want to accomplish independence through the rehabilitation process.

The first three expectations are related to the application of the DSW approach that will enable the destitute to realise their own capabilities and have increased skills. The destitute are highly dependent on the development workers to accomplish this, as also reflected in Figure 8.1. The third and the fourth requirements are related to the application of the liberation approach. As discussed in Subsection 8.4.2.2, the application of the liberation approach involves a partnership between the destitute and the development workers to set goals together and to act upon it. The last expectation is related to the transformation approach where the destitute are not dependent on the development workers anymore and they are empowered economically, physically, socially and psychologically.

### *8.4.4 Understanding of the policy-makers', human resource officers', council management's and village and ward development committees' perspectives, practices and experiences related to destitute rehabilitation (Sub-objective 4)*

The UNDP (1998) set a framework to understand capacity enhancement of development workers at three different levels: the enabling environment, the institution and the individual level. Aspects related to destitute rehabilitation in the enabling environment (DSS and DLGSM) and the institution were scrutinised in this research in order to accomplish Sub-objective 4.

The policy-makers (Department of Social Services [DSS]), the human resource officers (Department of Local Government Service Management [DLGSM]) and councillors (politicians) are social actors in the enabling environment. The institution refers to the organisation through which the destitute rehabilitation programme is implemented, which in this case is the Department of Social and Community Development (S&CD) at council level. Village and ward development committees work closely with the councils to accomplish the goal of destitute rehabilitation.

The DLGSM, DSS and S&CD councils were identified through the application of the critical systems heuristics as the co-owners of the destitute rehabilitation programme (Subsection

7.3.2.1). It was however evident that more significantly than the co-ownership is the inter-relationship between these co-owners. The co-owners and the components for which they are specifically responsible should not be isolated from one another during implementation of the destitute rehabilitation programme. These components include mainly:

- feedback and communication approaches applied by the co-owners;
- formal and in-service training of development workers;
- transfers of development workers to other councils;
- the implementation process of the destitute rehabilitation programme;
- the development of a staffing plan that is supportive to destitute rehabilitation;
- networking with other stakeholders and departments to acquire technical experts and to share transport;
- developing an operational functioning structure for destitute rehabilitation; and
- developing relationships with the councillors and village and ward committees that are supportive of destitute rehabilitation.

In addition, it is necessary to understand the underlying aspects of the inter-relationships between the co-owners when these activities are carried out, in order to cause the co-owners to function as a whole and not as isolated parts. This can be done by engaging the co-owners in dialogue to gain deeper understanding into their perspectives, which in turn determines their objectives and actions.

### *8.4.5 Development of the methodology for this research (Sub-objective 5)*

The fifth sub-objective of this research focussed on the development of the methodology through the three different phases of this research to increase depth of understanding related to capacity enhancement of development workers.

Action research is, according to literature, a cyclic process to inform change so that practices will change accordingly (Zuber-Skerritt 1991; Greenwood and Levin 1998). However, the findings of this research showed that action research can be the continual repetition of one cycle when action research is based on single-loop learning (Phase I of this research). The aim of single-loop learning is to suggest solutions for change in order to correct systems (Argyris 1994). According to Senge et al. (2005), it is essential to engage in deeper levels of learning, as in the case with double-loop learning, in order to gain increased awareness of the situation, to move beyond the current reality and to enable understanding of the larger whole. Therefore

action research needs to be accompanied by double-loop learning, where the emphasis is on gaining a deeper understanding of the causes of why a specific problem exists, in order to design new systems. The application of CSH together with action research promoted double-loop learning by the researcher, since it encouraged reflection and deeper understanding of the data provided.

CSH is considered a useful approach when there are complex processes involved when implementing the policy, as is the case with the implementation of the destitute rehabilitation programme. CSH enabled the researcher to synthesise the interpreted data by asking specific questions (according to the four boundary categories [Subsection 5.6]) about the data of the phases I and III (Chapters 7 and 8). This enabled identification of the ideal situation of each aspect identified in the different boundary categories (role, role concern and role problem) (Table 7.6), which informed development of the conceptual framework (Figure 7.7).

Ulrich (2005) contends that it is important to use systems approaches, other than CSH, when the goal is strategising. In the case where more focussed understanding and strategising is required in certain destitute rehabilitation processes (for example communication processes), other systems approaches need to be applied.

The purpose of using CSH in this research was to clarify the meaning of data in order to inform the conceptual framework. The goal was not to prescribe action for effective destitute rehabilitation practices but to create a framework that can stimulate dialogue between role players when the goal is to encourage the capacity enhancement of development workers during destitute rehabilitation.

### *8.4.6 Development of the conceptual framework for the capacity enhancement of development workers (Sub-objective 6)*

The conceptual framework for this research (Figure 7.7) is based on the in-depth understanding of the data that was provoked through the application of CSH. CSH outlines encouraged the understanding of the four roles that are performed in destitute rehabilitation in terms of the actual and ideal situation. The ideal situation describes the components that should be included in the conceptual framework. The development of the conceptual framework for the capacity enhancement of development workers in Botswana was also informed by the theoretical framework (Figure 4.6) and Figures 6.4 and 7.5 that portrayed the essential concepts that emerged during analysis of the data of this research. The conceptual framework outlines concepts related to the:

- Department of Social Services and the Department of Local Government Service Management (Figure 7.7 C);
- Department Social and Community Development at council level (Figure 7.7 B);
- individual development workers (Figure 7.7 A); and
- community development approaches to be applied by the development workers (Figure 7.7 D and E).

## 8.5 Conclusions

This section proposes five conclusions as a result of the findings of this research. The sub-objectives and preceding discussion provided background information for the formulation of the conclusions.

1. The conceptual framework (Figure 7.7) should enable policy-makers and development workers to scrutinise the whole system within which destitute rehabilitation is implemented. This includes the enabling environment, the organisation, the individual development workers and the destitute. Since the conceptual framework outlines the ideal situation it can enable the key role players in the destitute rehabilitation process to engage in dialogue on adjustments that need to be made to the actual destitute rehabilitation system in order to enhance development workers' capacity (Sub-objective 6).

2. The impact of the destitute rehabilitation programme cannot be only measured in terms of the dropping of numbers of registered destitute. The emphasis should also be on:

    a. the ability of the operational behaviour environment to support the development workers during destitute rehabilitation (Sub-objectives 2 and 4);

    b. the DSS, DLGSM and S&CD councils' ability to engage in reflective practices related to the current system in order to re-design the system (Sub-objective 4);

    c. development workers' attitudes and perspectives related to destitute rehabilitation and their ability to engage in reflective practices, dialogue and critical thinking during the destitute rehabilitation process (Sub-objective 2); and

d. the destitute's expectations of the destitute rehabilitation programme (Sub-objective 3).

3. It was apparent that development workers, in this research, did not perceive themselves as able to influence their external environment to any meaningful extent. To counteract this situation, development workers should be exposed to lifelong learning practices. This is so that they can question their own perspectives and attitudes and adjust their practices according to the challenging environment within which destitute rehabilitation is implemented. Development workers can develop their lifelong learning skills through:

    a. tertiary education institutions that encourage development workers to share in group discussions on how theory as obtained through formal lectures relate to their experience so that learning from experience can take place through the reflective practices (Sub-objective 2); and

    b. application of the integrationist policy-implementation model by engaging in dialogue sessions with co-development workers, policy-makers and the destitute during destitute rehabilitation. This will enable them to find deeper causes for impediments to destitute rehabilitation in order to design new systems for destitute rehabilitation practices (Sub-objective 1).

4. The destitute are dependent on the development workers to reach the state of independence from government support (Sub-objective 3). It is therefore needed to guide the destitute skilfully through the process of destitute rehabilitation without using top-down approaches. Decisions related to destitute rehabilitation and the application of community development approaches should be based on in-depth understanding of each destitute person's level of readiness and the destitute's expectations of destitute rehabilitation to enable them to:

    a. realise their own capabilities;

    b. become partners with development workers in the destitute rehabilitation process;

    c. enable the destitute to teach and support other destitute groups; and

    d. reach independence from government support.

5. The research came to the conclusion that, if the reflection stage during action research does not lead to deep insight into the problem, only single-loop learning is produced (correcting of systems). This can be avoided by engaging in reflective practices, dialogue and critical thinking which are all elements of CSH. The application of CSH enables the design of new systems, since double-loop learning is encouraged (Sub-objective 5).

## 8.6 Recommendations

This section proposes recommendations relating to theory, practice, training by higher education institutions, policy development and further research as based on the findings and the conclusions of this research.

### *8.6.1 Recommendations for theory*

When the goal is to seek understanding of a complex problem with systemic qualities it is necessary to make the systems boundary bigger than just the aspects within the system where the symptom of a problem is revealed. In this research, the development workers' experiences were first understood. These experiences revealed only the symptoms of problems that are experienced in the destitute rehabilitation process in Botswana. By enlarging the system's boundaries, development workers' relationships with the destitute were scrutinised. Enquiry of the problems experienced was deepened by further widening the system's boundary to understand development workers' relationships with other key role players in destitute rehabilitation. The application of CSH allowed more reflection and again deepened understanding of why problems are experienced in the destitute rehabilitation process. Widening of the system's boundaries thus enabled the surfacing of the clearer picture of aspects that influence the capacity of development workers during the implementation of the destitute rehabilitation programme.

Different ways of measuring poverty are described in Subsection 2.2.1. One other way of measuring poverty is to assess the development workers' capability to implement destitute rehabilitation in the system within which they are operating. Aspects to be included when assessing the development workers' capabilities are outlined in Subsection 8.4.2 (Table 8.2). However, in a wider context, the conceptual framework, as developed through this research, could be used to determine whether the operational environment is supportive of destitute rehabilitation.

The conceptual framework as outlined in Figure 7.7, describes the destitute rehabilitation environment as required by the destitute (Figure 7.7 D), the development workers (Figure 7.7 A, B and C) and the policy-makers and human resource officers (Figure 7.7 C). Based on the findings of this research (Subsection 8.4.6), it is suggested that application of the conceptual framework through single-loop learning, which pertains to finding problems and suggesting solutions for change in order to correct systems, be avoided. Essentially, the conceptual framework should be applied through double-loop learning by the key role players in the destitute rehabilitation process, to gain a deeper understanding of why a system is not working. The encouragement of dialogue may enrich understanding of the key role players involved in destitute rehabilitation in order to inform wiser actions.

### *8.6.2 Recommendations for practice*

This research showed that the destitute are to a large extent dependent on the development workers and the Botswana government in order to progress towards independence (self-sufficiency). Development workers consider themselves also to be dependent on the government to change the unsupportive work environment within which they strive to implement the destitute rehabilitation guidelines. This shows the importance for development workers to be challenged to reflect upon their perspectives of the destitute, their attitude towards destitute rehabilitation, the approaches they are using and the role they can play in influencing their work environment.

It is recommended that the policy makers, human resource officers, the council managements, development workers and the destitute consider themselves co-owners of the implementation process of the destitute rehabilitation programme. It is necessary for these groups to engage in processes of dialogue and strategising to identify the key inter-relationships among them and their main roles and responsibilities. The conceptual framework as developed in this research can be used to guide such dialogue sessions.

Development workers are encouraged to spend more strategic time with the destitute to develop an understanding of the destitute's level of readiness (in terms of the latter's ability to identify choices they have and to act upon those choices) and to understand the destitute's expectations in terms of destitute rehabilitation.

### *8.6.3 Recommendations for higher education institutions*

Based on the findings of this research, it is recommended that higher education institutions put increased emphasis on *how* they teach rather than *what* they teach in order to prepare

development workers for the complex problems that they may encounter in practice. This includes exposure to lifelong learning skills. These skills would include the ability to scrutinise their (development workers) practices through reflective practices, dialogue and critical thinking in an action inquiry framework to widen the boundary of the system which they can influence.

In addition, practical hands-on skills in terms of destitute rehabilitation need to feature in such a curriculum. Practical hands-on experience should be followed by sharing in group discussions how the theory as obtained through formal lectures, relates to their hands-on experience so that learning from experience can take place.

### *8.6.4 Recommendations for policy development*

Policy revision in terms of destitute rehabilitation in Botswana is currently based on consultation with all those involved and affected by destitute rehabilitation. The result of consultation may lead to the improvement of the policies, but it does not prescribe specific change to the environment within which the destitute rehabilitation programme is being implemented. It is thus recommended that the revision of policies needs to be a result of continuous monitoring, support and mentoring of development workers and the destitute by the Department of Social Services while the policy is implemented. In addition, this research proposes changes that need to be made relating to the operational behaviour environment within which destitute rehabilitation is implemented rather than to focus on altering the destitute rehabilitation guidelines per se.

Policy-makers are also encouraged not merely to measure the success of destitute rehabilitation in terms of the decrease in the numbers of registered destitute, but also to ensure that the destitute are all to remain independent and that the operational behaviour environment is conducive for successful destitute rehabilitation.

### *8.6.5 Recommendations for further research*

The following topics, which could not be addressed as a result of the delimitations of this research, are proposed as topics for future research:

- whereas this research looked at the destitute rehabilitation system from the vantage point of development workers, it is recommended that the destitute rehabilitation system be viewed from the vantage point of the destitute and the destitute

rehabilitation projects. Further research would need to broaden the system to take the social and the economic environments related to the destitute rehabilitation system into consideration as well;

- the effect of the destitute's perspectives of themselves and development workers on their (destitute) level of participation in poverty reduction programmes and their readiness to change (Reflection Box 2.2);
- the documentation of the process of implementation of the destitute rehabilitation programme or any other similar poverty reduction programmes by using the conceptual framework (Figure 7.7) to encourage dialogue in order to inform strategies for the capacity enhancement of development workers; and
- the application of other systems approaches than CSH, such as viable systems methodology and systems dynamics, to document the process of strategising certain destitute rehabilitation processes, for example communication processes.

## 8.7 Conclusion

The destitute rehabilitation programme as implemented by the government of Botswana aims to enable the destitute to be empowered to take responsibility for their own lives. However, literature and the findings of this research show that the implementation of the destitute rehabilitation programmes in Botswana might be impeded by the system within which it is implemented. This implies that the development workers' capacity to implement the destitute rehabilitation programme is not linked to the quality of the destitute rehabilitation guidelines. It is rather linked to the operational behaviour environment within which rehabilitation is executed as well as development workers' response to it.

This research therefore sought to answer the following research question: *What are the perspectives, practices and experiences of the key role players who influence the system within which development workers implement the destitute rehabilitation programme in Botswana?* This question was answered through the development of a conceptual framework, based on the application of a number of action research cycles (Phases I to IV), that described the environment and procedures within which destitute rehabilitation is currently implemented. This was done through achieving all the sub-objectives.

Critical systems heuristics (CSH) was applied to reflect critically on the data in order to understand the actual and the ideal situations related to destitute rehabilitation in Botswana. The development of the conceptual framework, Sub-objective 6, was based on the

understanding that emerged through the application of CSH. The conceptual framework presents the ideal situation related to the practices of development workers and the operational behaviour environment. The purpose of the conceptual framework is to create circumstances under which dialogue can occur spontaneously in order to inform strategies for the capacity enhancement of development workers (Figure 7.7). The deeper meaning and essence of the conceptual framework is rooted in the following quote:

> *When the creative orientation is primary, life becomes a journey of bringing into reality what you truly care about and addressing the many practical problems that arise along the way. Reality is no longer the enemy – indeed, understanding and reflecting on how different problems relate to one another, how they have come about, and how different forces contribute to the status quo are essential. But working with these forces is very different from reacting to what has gone wrong.*
>
> *- Peter Senge -*

# REFERENCES


Ackoff, RL. 1981. *Creating the corporate future*. New York: Wiley.

Adato, M, Ahmed, A & Lund, F. 2004. Linking safety nets, social protection and poverty reduction – directions for Africa. 2020 Africa Conference Brief 12. International Food Policy Research Institute. Kampala, Uganda, 1–3 April 2004.

Adato, M, Carter, MR & May, J. 2006. Exploring poverty traps and social exclusion in South Africa using qualitative and quantitative data. *Journal of Development Studies*, 42(2):226–247.

Adato, M, Lund, F & Mhlongo, P. 2007. Methodological innovation in research on the dynamics of poverty: A longitudinal study in KwaZulu-Natal, South Africa. *World Development*, 35(2):247–263.

Akdere, M. 2003. Action research paradigm in the field of training and development. *Journal of European Industrial Training*, 27(8):413–422.

Albertyn, RM. 2005. Increased accountability through monitoring empowerment programmes. *Journal of Family Ecology and Consumer Science*, 33:31–36.

Aldrich, HE & Pfeffer, J. 1976. Environments of organizations. *Annual Review of Sociology*, 2:79–105.

Alsop, R & Heinsohn, N. 2005. *Measuring empowerment in practice: Structuring analysis and framing indicators*. World Bank Policy Research Working Paper 3510. Hyperlink [http://siteresources.worldbank.org/INTEMPOWERMENT/Resources/41307_wps3510.pdf]. 20 March 2008.

Amudavi, DM & Mango, N. 2003. Enhancing community based research: The case of a participatory action research experience in a rural community in Kenya. Conference proceedings of the International ALARPM Conference. University of Pretoria, Pretoria, 21–24 September 2003.

Andresen, L, Boud, D & Cohen, R. 2000. Experience-based learning. In G Foley (ed.), *Understanding adult education and training*. Second edition. Sydney: Allen and Unwin, 2000: 225–239.

Argyris, C. 1994. Good communication that blocks learning. *Harvard Business Review*, 72(4):77–85.

Aronson, D. 1996. *Overview of systems thinking.* Hyperlink [http://www.thinking.net/Systems_Thinking/OverviewSTarticle.pdf]. 7 March 2008.

Atkinson, T. 1998. *Exclusion, employment and opportunity.* Working Paper No. 4. Centre for Analysis of Social Exclusion. London: London School of Economics.

Bain, EG. 1987. Public policy implementation. In SX Hanekom, RW Rowland & EG Bain (eds.), *Key aspects of public administration*. Johannesburg: International Thomson Publishing, 1987: 36–43.

Bak, M. 2004. Can developmental social welfare change an unfair world? The South African experience. *International Social Work*, 47(1):81–94.

Banathy, B & Jenlink, P. 2004. Systems inquiry and its application in education. In D Jonassen (ed.), *Handbook of research on educational communications and technology*. Mahwah: Lawrence Erlbaum, 2004: 37–57.

Bar-On, AA & Prinsen, G. 1999. Participatory planning: Counterbalancing centralization. *Journal of Social Development in Africa*, 14(1):101–119.

Bartlett, A. 2004. *Entry points for empowerment.* Hyperlink [http://www.communityipm.org/docs/Bartlett-EntryPoints-20Jun04.pdf]. 7 April 2008.

Bawden, R. 1991. Towards action research systems. In O Zuber-Skerritt (ed.), *Action research for change and development*. Aldershot: Avebury, 1991: 10–35.

Bawden, R. 1997. *The community challenge: The learning response.* Hyperlink [http://www.minessence.net/pdfdocs/georgia.pdf]. 2 January 2008.

Beer, S. 1984. The viable system model: Its provenance, development, methodology and pathology. *Journal of the Operational Research Society*, 35:7–25.

Bellù, LG & Liberati, P. 2005. *Impacts of policies on poverty: The definition of poverty*. Hyperlink [http://www.fao.org/docs/up/easypol/312/povanlys_defpov_004EN.pdf]. 16 October 2008.

Benito, CA. 2000. *The causes of poverty in Latin America and the Caribbean: The role of political institutions and governance*. Hyperlink [http://www.sonoma.edu/users/b/benito/economic_papers/Poverty.pdf]. 7 March 2008.

Bergdall, T. 1993. *Methods for active participation: Experience in rural development from east and central Africa*. Nairobi: Oxford University Press.

Betts, J & Holden, R. 2003. Organisational learning in a public sector organisation: A case study in muddled thinking. *Journal of Workplace Learning*, 15(6):280–287.

Bhalla, A & Lapeyre, F. 1997. Social exclusion: Towards an analytical and operational framework. *Development and Change*, 28(3): 413–433.

Bhola, HS. 2005. Potential of adult and lifelong education for poverty reduction: Systems thinking for systemic change. *International Journal of Lifelong Education*, 24(5):405–417.

Bird, K, Hulme, D, Moore, K & Shepherd, A. 2002. *Chronic poverty and remote rural areas.* Chronic Poverty Research Centre Working Paper No. 13. Hyperlink [http://www.chronicpoverty.org/pubfiles/13Bird_et_al.pdf]. 7 March 2008.

Blackburn, C. 1991. *Poverty and health: Working with families*. Milton Keynes: Open University Press.

Blaikie, N. 2000. *Designing social research: The logic of anticipation*. Cambridge: Polity Press.

Blaikie, P. 1993. *Approaches to social enquiry*. Cambridge: Polity.

Blanco, RO. 2002. Eradicating extreme poverty and hunger: How we define poverty. *UN Chronicle*, 4:28.

Boone, HN, Gartin, SA, Wright, CB, Lawrence, LD & Odell, KS. 2002. Adult education philosophies practiced by agricultural education teachers in Pennsylvania, Virginia, and West Virginia. *Journal of Agricultural Education*, 43(3):37–48.

Booth, D, Holland, J, Hentschel, J, Lanjouw, P & Herbert, A. 1998. *Participation and combined methods in African poverty assessment: Renewing the agenda.* Hyperlink [http://www.dfid.gov.uk/pubs/files/sddafpov.pdf]. 7 March 2008.

Botswana Institute for Development Policy Analysis. 1997. *Study of poverty and poverty alleviation in Botswana*. BIDPA working paper No. 4. Gaborone: Ministry of Finance and Development Planning.

Boulding, KE. 1956. General systems theory: The skeleton of science. *Emergence Complexity and Organisation*, 6(1–2):127–139.

Brown, BA. 2005. The incorporation of poverty into adult identity over time: Implications for adult education. *International Journal of Lifelong Education*, 24(5):393–404.

Budlender, D. 2000. Human development. In J May (ed.), *Poverty and inequality in South Africa: Meeting the challenge*. Cape Town: David Philip, 2000: 97–140.

Bullock, CC. 1993. Ways of knowing: The naturalistic and positivistic perspectives on research. In MJ Malkin & CZ Howe (eds.), *Research in therapeutic recreation: Concepts and methods*. State College, PA: Venture, 1993: 25–42.

Bureau of African Affairs. 2006. *Background note: Botswana*. Hyperlink [http://www.state.gov/r/pa/ei/bgn/1830.htm]. 7 January 2008.

Burkey, S. 1993. *People first: A guide to self-reliant, participatory rural development*. London: Zed Books.

Butcher, H & Robertson, JC. 2003. Individual and organisational development for community practice and experiential learning approach. In S Banks, H Butcher, P Henderson & J Robertson (eds.), *Managing community practice, principles, policies and programmes.* Bristol: Policy Press, 2003: 83 -102.

Cabana, S & Emery, F. 1995. The search for effective strategic planning is over. *Journal for Quality and Participation*, 18(4):10–19.

Castelloe, P, Watson, T & White, G. 2002. Participatory change: An integrative approach to community practice. *Journal of Community Practice*, 10(4):7–31.

Cavana, RY & Mares, ED. 2004. Integrating critical thinking and systems thinking: From premises to causal loops. *System Dynamics Review*, 20(3):223–235.

Central Statistics Office. 1995. *Household income and expenditure survey 1993/94*. Gaborone: Government Printers.

Central Statistics Office. 2004. *Household income and expenditure survey 2002/03*. Gaborone: Government Printers.

Central Statistics Office. 2008. *Labour force report 2005/06.* Gaborone: Government Printers.

Chambers, R. 1983. *Rural development: Putting the last first*. Harlow: Longman.

Chambers, R. 1994. The origins and practice of participatory rural appraisal. *World Development*, 22(7):953–969.

Chambers, R. 1995. *Poverty and livelihoods: Whose reality counts*? Harlow: Longman.

Chambers, R. 1997. *Whose reality counts? Putting the first last*. London: Intermediate Technology.

Chambers, R. 2005. *Ideas for development*. London: Earthscan.

Chambers, R. 2007. *Poverty research: Methodologies, mindsets and multidimensionality*. Institute of Development Studies Working Paper 191. Brighton: Institute of Development Studies, University of Sussex.

Chan, YH, Taylor, RR & Markham, S. 2008. The role of subordinates' trust in a social exchange-driven psychological empowerment process. *Journal of Managerial issues*, 20(4):444–467.

Charmaz, K. 2006. *Constructing grounded theory: A practical guide through qualitative analysis.* Thousand Oaks: Sage.

Checkland, P. 1981. *Systems theory: Systems Practice*. London: Wiley.

Checkland, P. 1988. The case for 'holon'. *Systems Practice*, 1(3):235–238.

Checkland, P. 1989. *Soft systems methodology: Rational analysis for a problematic world.* New York: Wiley.

Checkland, P. 1999. *Soft systems methodology: A 30-year retrospective.* Chichester: Wiley.

Chetkow-Yanoov, B. 1997. *Social work practice: A systems approach*. New York: Haworth.

Chisupa, N. 2004. The case of Zambia. In MP Olivier & ER Kalula (eds.), *Social protection in SADC: Developing and integrated ad inclusive framework.* Cape Town: University of Cape Town Press, 2004: 198–218.

Clark, DA. 2005. Sen's capability approach and the many spaces of human well-being. *Journal of Development Studies*, 41(8):1139–1368.

Clayton, TC, Clayton, AMH & Radcliffe, NJ. 1996. *Sustainability: A systems approach*. London: Earthscan.

Clover, J. 2003. *Botswana: Future prospects and the need for broad-based development.* Hyperlink [www.iss.co.za/AF/current/Botswanasep03.pdf]. 23 November 2007.

Cohen, J & Uphoff, J. 1977. *Rural development participation: Concepts and measures for project design – Implementation and evaluation*. New York: Cornell University.

Colebatch, HK. 2000. Policy analysis, policy practice and political science. *Australian Journal of Public Administration*, 64(3):14–23.

Columbe, H & McKay, A. 1996. Modelling determinants of poverty in Mauritania. *World Development*, 24(6): 1015–1031.

Conger, JA & Kanungo, RN. 1988. The empowerment process: Integrating theory and practice. *Academy of Management Review*, 13(3):471–482.

Conning, J & Kevane M. 2002. Community-based targeting mechanisms for social safety nets: A critical review. *World Development*, 30(3):375–394.

Cornford, IR. 2002. Learning-to-learn strategies as a basis for effective lifelong learning. *International Journal of Lifelong Education*, 21(4):357–368.

Cornwall, A & Brock, K. 2005. Beyond buzzwords "poverty reduction", "participation" and "empowerment" in development policy. UNRISD Programme paper. Genève: United Nations Research Institute for Social Development.

Couto, R. 1998. Community coalitions and grassroots polices of empowerment. *Administration and Society*, 30(5):569–595.

Cranton, P. 1992. *Understanding and promoting transformative learning*. San Francisco: Jossey-Bass.

Cranton, P. 1996. *Professional development as perspective transformation*. San Francisco: Jossey-Bass.

Creswell, JW & Clark, VL. 2007. *Designing and conducting mixed methods research.* Thousand Oaks: Sage.

Crocker, J, Major, B & Steele, B. 1998. *Social stigma (volume II).* New York: McGraw-Hill.

Crombie, A. 1987. The nature and types of search conferences. *International Journal of Lifelong Education*, 4(1):3–33.

Crosby, BL. 1996. Policy implementation: The organizational challenge. *World Development*, 24(9):1403–1415.

Curry, JMC. 2000. Community worldview and rural systems: A study of five communities in Iowa. *Annals of the Associations of American Geographers*, 90(4):693–712.

De Beer, F. 2003. Whither the study of development in South Africa? *Development Southern Africa*, 20(4):477–489.

De Coning, C & Cloete, F. 2006. Theories and models for analyzing public policy. In F Cloete, H Wissink & C de Coning (eds.), *Improving public policy: From theory to practice*. Second edition. Pretoria: Van Schaik, 2006: 24–55.

Deininger, K & Okidi, J. 2003. Growth and poverty reduction in Uganda 1999–2000: Panel data evidence. *Development Policy Review*, 21(4):481–509.

Delanty, D & Strydom, P. 2003. *Philosophies of social sciences: The classic and contemporary readings*. Berkshire: McGraw-Hill.

De Villiers, MR. 2005. *Three approaches as pillars for interpretive information systems research.* Conference proceedings of the 2005 Annual Research Conference of the South African Institute of Computer Scientists and Information Technologists on IT research in developing countries. White River, South-Africa, 20–22 September 2005.

Dobbs, JH. 1993. The empowerment environment. *Training and Development*, 47(2):55–57.

Duncan, T, Jefferis, K & Molutsi, P. 1997. Botswana: Social development in a resource-rich economy. In S Mehrotra and R Jolly (eds.), *Development with a human face*. Oxford: Clarendon Press, 1997: 113–148.

Elias, JL & Merriam, SB. 1995. *Philosophical foundations of adult education*. Malabar: Krieger.

Emery, M. 2000. The current version of Emery's open systems theory. *Systemic Practice and Action Research*, 13(5):623–643.

Emery, M & Purser, RE. 1996. *The search conference: A powerful method for planning organizational change and community action*. San Francisco: Jossey-Bass.

Espinosa, A, Harnden, R & Walker J. 2005. An effective weapon in the systems armory: The use of the viable systems model in the battle for sustainability. *Systemist*, 27(2):73–99.

Ferguson-Brown, H. 1996. The origins of the welfare and community development programmes in Botswana. *Pula: Botswana Journal of African Studies*, 10(2):66–206.

Flood, RL. 1999. *Rethinking the fifth discipline: Learning within the unknowable*. London: Routledge.

Flood, RL & Carson, ER. 1993. *Dealing with complexity: An introduction to the theory and application of systems science*. New York: Plenum Press.

Forje, JW. 2004. *Inter-sectoral approaches to poverty reduction: Private sector partnership: Lessons from Cameroon.* Conference proceedings of the International Adult Education and Poverty Reduction Conference. Gaborone, Botswana, 14–16 June 2004.

Freire, P. 1970. *Pedagogy of the oppressed*. Middlesex: Penguin.

Freire, P. 1973. *Education for critical consciousness*. New York: Seabury Press.

French, W & Bell, CH. 1999. *Organization development: Behavioural science knowledge for organisation improvement*. Englewood Cliffs: Prentice-Hall.

Friedman, J. 1992. *Empowerment: The politics of alternative development*. Cambridge: Blackwell.

Fukuda-Parr, S, Lopes, C & Malik, K. 2002. *Capacity for development: New solutions to old problems*. Executive summary. London: Earthscan.

Gerston, LN. 2004. *Public policy making: Processes and principles*. Armonk: M.E. Sharpe.

Ghai, D. 2003. Social security: Learning from global experience to reach the poor. *Journal of Human Development*, 4(1):125–150.

Gharajedaghi, J. 2005. *Systems thinking: Managing chaos and complexity: A platform for designing business architecture*. Second edition. Boston: Elsevier.

Glaser, B. 1992. *Basics of grounded theory analysis: Emergence versus forcing.* Mill Valley: The Sociology Press.

Glickman, NJ & Servon, LJ. 1998. More than bricks and sticks: Five components of community development. *Housing Policy Debate*, 9(3): 497–539.

Gloster, M. 2000. Approaching action research from a socio-ecological perspective. *Systemic Practice and Action Research*, 13(5):665–682.

Goffman, E. 1963. *Stigma: Notes on the management of spoiled identity*. Englewood Cliffs: Prentice Hall.

Goldenberg, I. 1978. *Oppression and social intervention.* Chicago: Nelson Hall.

Goleman, D, Boyatzis, RE & McKee, A. 2002. *Primal leadership: Realising the power of emotional intelligence*. Boston: Harvard Business School Press.

Government of the United Republic of Tanzania. 2000. *Poverty reduction strategy paper*. Dar es Salaam: Government Printers.

Greenwood, DJ & Levin, M. 1998. *Introduction to action research: Social research for social change*. Thousand Oaks: Sage.

Haines, HS. 2000. *A complete guide of systems thinking and learning*. Amherst: HRD Press.

Hammersley, M. 2004. Action research: A contradiction in terms? *Oxford Review of Education*, 30(2):165–189.

Harrington, HJ, Carr, JJ & Reid, RP. 1999. What's this "systems" stuff, anyhow? *The TQM Magazine*, 11(1):54–57.

Haslett, T & Sarah, R. 2006. Using the viable systems model to structure a system dynamics mapping and modelling project for the Australian Taxation Office. *Systemic Practice and Action Research*, 19:273–290.

Hastings, A, McArthur, A & McGregor, A. 1996. *Less than equal? Community organisations and estate regeneration partnerships*. The Policy Press: Bristol.

Heckman, F. 1995. A new method for achieving community excellence. *Journal for Quality and Participation*, 18(7):80–90.

Henning, E, Van Rensburg, W & Smit, B. 2004. *Finding your way in qualitative research*. Pretoria: Van Schaik.

Hickey, S & Bracking, S. 2005. Exploring the politics of chronic poverty: From representation to a politics of justice? *World Development*, 33(6):851–865.

Hoegl, M & Gemuenden, HG. 2001. Teamwork quality and the success of innovative projects: A theoretical concept and empirical evidence. *Organization Science*, 12(4):435–449.

Hoffman, C. 1978. Empowerment movements and mental health: Locus of control and commitment to the United farm workers. *Journal of Community Psychology*, 6:216–221.

Hope A & Timmel S. 1984. *Training for transformation: A handbook for community workers (Book 3)*. Gweru: Mambo Press.

Howe, G & McKay, A. 2005. *Combining quantitative and qualitative methods in assessing chronic poverty: The case of Rwanda*. Q-Squared Working Paper No. 3. Centre for International Studies, University of Toronto, Toronto.

Hulme, D & McKay, A. 2005. *Identifying and measuring chronic poverty: Beyond monetary measures*. Conference proceedings of the International Conference on the Many Dimensions of Poverty. Brasilia, Brazil, 28–31 August 2005.

Hunt, J. 2005. *Capacity building for indigenous governance: International development experience of capacity development: Implications for Indigenous Australia?* Hyperlink [http://www.anu.edu.au/caepr/Projects/Capacity_JHunt.pdf]. 4 March 2008.

Hunter, DJ & Marks, L. 2002. *Decision-making processes for effective policy implementation*. Hyperlink [http://www.nice.org.uk/niceMedia/pdf/SemRef_Decision_Hunter.pdf]. 22 March 2008.

Hunter, N, May, J & Padayachee, V. 2003. *Lessons for poverty reduction strategy papers from poverty reduction strategies in South Africa*. Hyperlink [http://sds.ukzn.ac.za/files/wp39.pdf]. 7 March 2008.

Iceland, J. 2005. Measuring poverty: Theoretical and empirical considerations. *Measurement*, 3(4):199–235.

Ife, J. 1995. *Community development: Creating community alternatives – vision, analysis and practice*. Melbourne: Longman Australia.

International Labour Office (ILO). 2007. *Success Africa: Partnership for decent work – Improving peoples' lives.* Hyperlink [http://www.ilo.org/public/english/region/afpro/addisababa/pdf/success.pdf]. 20 April 2008.

Irvine, R, Chambers, R & Eyben, R. 2004. *Learning from poor people's experience: Immersions*. Lessons for Change in Policy and Organisations, No. 13. Brighton: Institute of Development Studies, University of Sussex.

Ison, R, Blackmore, C, Collins, K & Furniss, P. 2007. Systemic environmental decision making: Designing learning systems. *Kybernetes*, 36(9–10):1340–1361.

Jackson, MC. 2000. *Systems approaches to management*. New York. Kluwer Academic.

Jansen, J. 2001. Explaining non-change in education reform after apartheid: Political symbolism and the problem of policy implementation. In J Jansen &Y Sayed (eds.), *Implementing education policies: The South African experience.* Cape Town*:* University of Cape Town Press, 2001: 271–292.

Jefferis, KR & Kelly, TF. 1999. Botswana: Poverty amid plenty. *Oxford Development Studies*, 27(2):221–231.

Johannesburg Summit. 2002. *Botswana Country Profile*. Hyperlink [http://www.johannesburgsummit.org/html/prep_process/national_reports/botswana_natl_assess.doc]. 10 February 2007.

Johnson, BL. 1998. Resource dependence theory: A political economy model of organizations. *International Encyclopaedia of Public Policy and Administration*, 4:1969–1974.

Johnson, D. 2002. Insights on poverty. *Development in Practice*, 12(2):127–137.

Joshi, A & Moore, M. 2000. *The mobilising potential of anti-poverty programmes.* Institute of Development Studies Discussion Paper 374. Brighton: Institute of Development Studies, University of Sussex.

Kabeer, N. 1999. Resources, agency, achievements: Reflections on the measurement of women's empowerment. *Development and Change*, 30:435–464.

Kabeer, N. 2004. *Re-visioning "the social": Towards a citizen-centred social policy for the poor in poor countries*. Institute of Development Studies Working Paper 191. Brighton: Institute of Development Studies, University of Sussex.

Kanyongolo, NR. 2004. The case of Malawi. In MP Olivier & ER Kalula (eds.), *Social protection in SADC: Developing an integrated and inclusive framework.* Cape Town: University of Cape Town Press, 2004: 97–117.

Kasperson, RE & Breithart, M. 1974. *Participation, decentralization, and advocacy planning.* Commission on College Geography Resource Paper No. 25. Washington: Association of American Geographers.

Katz, D & Kahn, RL. 1978. *The social psychology of organizations*. New York: Wiley.

Kazepov, Y. 2001. The law and the poor: Institutional support and economic need in Italy. In P Robson & A Kjønstad (eds.), *Poverty and the law*. Oxford: Hart, 2001: 17–34.

Khama, I. 2005. Statement on the occasion of the official opening of the development projects in Zwenshmbe. *The Weekly Electronic Press Circular of the Office of the President*. Gaborone: Government of Botswana.

Kolb, DA. 1984. *Experiential learning: Experience as the source of learning and development*. New Jersey: Prentice-Hall.

Korten, D. 1990. *Four generations of development: Getting to the 21st century*. West Hatfield: Kumarian Press.

Kotze, DA & Kellerman, GEJ. 1997. Participation and managerial approaches to development. In DA Kotze (ed.), *Development administration and management: A holistic approach*. Pretoria: Van Schaik, 1997: 35–48.

Kroeker, CJ. 1995. Individual, organizational, and societal empowerment: A study of the processes in a Nicaraguan agricultural cooperative. *American Journal of Community Psychology*, 23(5):749–764.

Laderchi, CS, Saith, R & Stewart, F. 2003. Does it matter that we do not agree on the definition of poverty? A comparison of four approaches. *Oxford Development Studies,* 31(3):243–269.

Lakwo, A. 2004. Decentralisation, democratic centralism and citizens' exclusion: A case study of Nebbi district in Uganda. In GM Mudacumura & MS Haque (eds.), *Handbook of development policy studies.* New York: Marcel Dekker, 2004: 607–628.

Lane, DC & Olivia, R. 1998. The greater whole: Towards a synthesis of system dynamics and soft systems methodology. *European Journal of Operational Research*, 107(1):214–235.

Lather, P. 2006. Paradigm proliferation as a good thing to think with: Teaching research in education as a wild profusion. *International Journal of Qualitative Studies in Education*, 19(1):35–37.

Laurillard, D. 1993. *Rethinking university teaching: A framework for the effective use of educational technology*. London: Routledge.

Lavergne, R. 2004. *Debrief – Tokyo Symposium on Capacity Development*. Hyperlink [http://www.acdi-cida.gc.ca/cd]. 22 March 2008.

Lavinas, L. 2003. Encouraging school attendance in Mozambique by granting a minimum income to parents. *International Security Review*, 56(3–4):139–155.

LeCompte, M. 2000. Analyzing qualitative data. *Theory into Practice*, 39(3):146–154.

Lee, A. 2006. *Community development: Current issues and challenges*. Hyperlink [http://www.cpa.ie/publications/CommunityDevelopmentCurrentIssuesandChallenges_2006.pdf]. 20 March 2008.

Leedy, PD & Ormrod, JE. 2001. *Practical research: Planning and design*. Seventh edition. Upper Saddle River: Merrill Prentice Hall.

Lekoko, RN. 2002. An appraisal of Batswana community-based extension agents' work and training experiences: Towards enhanced service coordination. PhD dissertation. State College: Pennsylvania State University.

Lekoko, RN. 2005. The perceived effects of field-based learning in building responsive partnerships for community development. *Community Development Journal*, 40(3): 313–328.

Lekoko, RN & Van der Merwe, M. 2006. Beyond the rhetoric of empowerment: Talk the language, live the experience of the rural poor. *International Review of Education*, 52(3–4):323–332.

Lister, R. 2004. *Poverty*. Cambridge: Polity Press.

Lopes, C & Theisohn, T. 2004. *Ownership, leadership and transformation: Can we do better for capacity development?* London: Earthscan.

Luckett, K. 2006. An assessment of the application of critical systems heuristics to a policy development process. *Systemic Practice and Action Research*, (6):503–521.

Luckett, S, Ngubane, S & Memela, B. 2001. Designing a management system for a rural community development organization using a systemic action research process. *Journal of Systemic Practice and Action Research*, 14(4):517–541.

Lukes, S. 2005. *Power: A radical view*. Second edition. London: Palgrave Macmillan.

Lusthaus, C, Adrien, M & Perstinger, M. 1999. Capacity development: Definitions, issues and implication for planning, monitoring and evaluation. *Universalia Occasional Paper*, 35:1–21.

Maani, K & Cavana, R. 2000. *Systems thinking and modelling: Understanding change and complexity*. Auckland: Prentice Hall.

Maani, K & Maharaj, V. 2001. *Systemic thinking and complex problem-solving – A theory building empirical study*. Conference proceedings of the 19th International Conference of the System Dynamics Society. Atlanta, 23–27 July 2001.

Mameli, A. 2001. The development of the notion of poverty and the equal protection clauses: A comparative analysis of Italy and the United States. In P Robson & A Kjønstad (eds.), *Poverty and the law*. Oxford: Hart, 2001: 109–120.

Maruatona, T. 2007. An analysis of the provision of non-formal basic education in Botswana. Hyperlink [http://unesdoc.unesco.org/images/0015/001555/155557e.pdf]. 7 March 2008.

Maula, M. 2006. Organisations as learning systems: Living composition as an enabling system. *Research in Competence-Based Management*, 2:41–66.

Maxwell, S. 1999. *The meaning and measurement of poverty*. Hyperlink [http://www.odi.org.uk/publications/briefing/pov3.html]. 14 April 2007.

Mayoux, L & Chambers, R. 2005. Reversing the paradigm: Quantification, participatory methods and pro-poor impact assessment. *Journal of International Development*, 17:271–298.

McClenaghan, P. 2000. Social capital: Exploring the theoretical foundations of community development education. *British Educational Research Journal*, 26(5):565–582.

McGregor, SLT. 1997. The impact of different paradigms on home economics practice. *Journal of the Home Economics Institute of Australia*, 4(3):23–33.

McTaggart, R. 1989. *Sixteen tenets of participatory action research.* Hyperlink [http://www.caledonia.org.uk/par.htm]. 20 June 2006.

Mead, DC. 1994. The contribution of small enterprises to employment growth in southern and Eastern Africa. *World Development*, 22(12):1881–1894.

Mezirow, J. 1990. How critical reflection trigger transformative learning. In J Mezirow & Associates (eds.), *Fostering critical reflection in adulthood: A guide to transformative and emancipatory learning*. San Francisco: Jossey-Bass, 1990: 1–20.

Mezirow, J. 1991. *Transformative dimensions of adult learning*. San Francisco: Jossey-Bass.

Midgley, J. 1996. Social work and social development: Challenge to the profession. *Journal of Applied Social Sciences*, 21(1):7–14.

Milèn, A. 2001. *What do we know about capacity building? An overview of existing knowledge and good practice.* Hyperlink [http://afronets.org/files/capacity.pdf]. 20 March 2008.

Ministry of Education and Skills Development. 2008. *National report on the development and state of the art of adult learning and education in Botswana*. Hyperlink [http://www.unesco.org/fileadmin/MULTIMEDIA/INSTITUTES/UIL/confintea/pdf/National_Reports/Africa/Africa/Botswana.pdf]. 28 November 2008.

Ministry of Labour and Home Affairs. 2004. *Botswana's response to the questionnaire to governments on implementation of the Beijing platform for action (1995) and the outcome of the twenty-third special session of the general assembly (2000)*. Hyperlink

[http://www.un.org/womenwatch/daw/Review/responses/BOTSWANA-English.pdf]. 7 March 2008.

Ministry of Local Government. 2002a. Revised Destitute Rehabilitation Guidelines. Unpublished Pamphlet. Gaborone: Social Welfare Division.

Ministry of Local Government. 2002b. Revised National Policy on Destitute Persons. Unpublished pamphlet. Gaborone: Social Welfare Division.

Ministry of Local Government. 2002c. *Revised National Policy on Destitute Persons: Operating Manual.* Gaborone: Government Printers.

Ministry of Local Government. 2007. *Overview of ministry of local government.* Hyperlink [http://www.mlg.gov.bw/PGContent.php?UID=308]. 20 November 2008.

Mintzberg, H. 2004. *Managers not MBAs.* San Francisco: Berrett-Koehler.

Mogae, FG. 2006. *Diamonds for development.* Hyperlink [http://www.cfr.org/publication/11729/diamonds_for_development_rush_transcript_federal_news_service.html?breadcrumb=%2Fbios%2F548%2Frichard_c_holbrooke]. 7 April 2008.

Mok, E & Au-Yeung, B. 2002. Relationship between organizational climate and empowerment of nurses in Hong Kong. *Journal of Nursing Management*, 10: 129–137.

Mooka, G. 1995. RECC's perspectives on implementation strategies to improve coordination. In G Chilume (ed.), *Improving coordination, supervision, and monitoring in extension services.* Gaborone: Government Printers, 1995: 4–8.

Mosha, AC. 1999. Municipal responses to urban poverty: A case study of Gaborone. In S Jones & N Nelson (eds.), *Urban poverty in Africa: From understanding to alleviation.* London: Intermediate Technological Publications, 1999: 102 – 112.

Mosley, P. 2001. Microfinance and poverty in Bolivia. *The Journal of Development Studies*, 37(4):101–132.

Moyo, T. 2003. Critical success factors for micro enterprise development in Africa: An overview. *Transformation*, 20(3):166–171.

Mtshali, SM. 2000. Monitoring and evaluation of women's rural development extension services in South Africa. *Development South Africa*, 17(1):65–64.

Mudambi, R & Navarra, P. 2004. Is knowledge power? Knowledge flows, subsidiary power and rent-seeking within MNEs. *Journal of International Business Studies*, 35(5):385–406.

Mulej, M, Potocan, V, Zenko, Z, Kajzer, S, Ursic, D, Knez-Riedl, J, Lynn, M, & Ovsenic, J. 2004. How to restore Bertalanffian systems thinking. *Kybernetes*, 33(1):48–61.

Narayan, D. 2002. *Empowerment and poverty reduction: A sourcebook*. Washington: World Bank.

Narayan, D & Petesch, P. 2002. *Voices of the poor*: *From many lands.* New York: Oxford University Press.

Neuman, WL. 2003. *Social research methods: Qualitative and quantitative approaches*. New York: Pearson Education.

Ntseane, D & Solo, K. 2004. The case of Botswana. In MP Olivier & ER Kalula (eds.), *Social protection in SADC: Developing an integrated and inclusive framework.* Cape Town: University of Cape Town Press, 2004: 73–96.

Ntseane, P. 2004. Being a female entrepreneur in Botswana: Cultures, values, strategies for success. *Gender and Development*, 12(2):37–43.

Olivier, MP & Mhone, G. 2004. The case of South-Africa. In MP Olivier & ER Kalula (eds.), *Social protection in SADC: Developing an integrated and inclusive framework.* Cape Town: University of Cape Town Press, 2004: 118–177.

Organisation for Economic Cooperation and Development (OECD). 2006. *Botswana*: *African economic outlook*. Hyperlink [http://www.oecd.org/dataoecd/11/58/36748457.pdf]. 5 February 2007.

Oxaal, Z & Baden, S. 1997. *Gender and empowerment: Definitions, approaches and implications for policy*. Hyperlink [http://www.snvworld.org/cds/rgGen/Chapter%202/Oxaal=Baden.pdf]. 23 November 2006.

Packham, RG & Sriskandarajah, N. 2005. Systemic action research for postgraduate education in agriculture and rural development. *Systems Research and Behavioural Science*, 22:119–130.

Padaki, V. 2002. Making the organisation learn: Demystification and management action. *Development in Practice*, 12(3–4):321–337.

Panagiotidis, P & Edwards JS. 2001. Organisational learning: A critical systems thinking discipline. *European Journal of Information Systems*, 10(3):135–146.

Pasteur, K & Scott-Villiers, P. 2004. Minding the gap through organizational learning. In L Groves & R Hinton (eds.), *Inclusive aid: Changing power and relationships in international development*. London: Earthscan, 2004: 181–198.

Percy, R. 2005. The contribution of transformative learning theory to the practice of participatory research and extension: Theoretical reflections. *Agriculture and Human Values*, 22:127–136.

Plummer, J. 2000. *Municipalities and community participation: A sourcebook for capacity development*. London: Earthscan.

Preece J. 2005. The role of education in poverty alleviation for sustainable development. Conference proceedings of the Pascal International Conference. University of Stirling, Scotland, 25–28 October 2005.

Presidential Task Group. 1997. *Long term vision for Botswana: Towards prosperity for all*. Gaborone: Botswana Printers.

Pretty, J. 1995. *Regenerating agriculture: Policies and practices for sustainability and self-reliance*. London: Earthscan.

Pretty, J & Ward, H. 2001. Social capital and environment. *World Development*, 29(2):209–227.

Price, DW. 1999. Philosophy and the adult educator. *Adult Learning*, 11(2):3–5.

Ramage, M & Shipp, K. 2006. On boundaries and disciplines: Constructing a set of key systems thinkers. *Systemist*, 28(2):225–234.

Ranis, T, Stewart, F & Samman, E. 2006. Human development: Beyond the human. *Journal of Human Development*, 7(3):323–358.

Rappaport, J. 1987. Terms of empowerment/exemplars of prevention: Towards a theory for community psychology. *American Journal of Community Psychology*, 15:121–143.

Read, AM. 2000. *Rethinking development as knowledge: Implication for human development*. Hyperlink [http://www.yorku.ca/hdrnet/images/uploaded/MukherjeeReed_UNOPS2.pdf]. 17 April 2008.

Reber, AS. 1995. *Dictionary of Psychology*. London: Penguin Books.

Rees, D. 2000. *Integrating the "hard" and "soft" sides of systems thinking – A case study in New Zealand local government*. Hyperlink [http://ftp.informatik.rwth-aachen.de/Publications/CEUR-WS/Vol-72/084%20Rees%20HardSoft.pdf]. 9 January 2008.

Restrepo, GP. (s.a.). *New strategy to fight poverty strategic guidelines and action proposed by the social investment funds*. Hyperlink [http://www.redsocial.org/english/redsocial/otros_docs/12C-I.PDF]. 19 February 2004.

Reynolds, M. 1998. "Unfolding" natural resource-use information systems: Fieldwork in Botswana. *Systemic Practice and Action Research*, 11(2):127–151.

Rivers, RC. 2000. Poverty, democracy and development in Botswana. Unpublished master's thesis, University of Botswana, Gabarone.

Robinson, S. 2003. *Detailed review of five national PRSPs in the Southern African region: Malawi, Zambia, Mozambique, Botswana and Lesotho*. Hyperlink [www.sarpn.org.za/documents/d0000305/P308_PRSP_review.pdf]. 2 April 2008.

Roper, L & Pettit, J. 2003. Development and the learning organisation: An introduction. In L Roper, J Pettit & D Eade (eds.), *Development and the learning organisation*. Oxford: Oxfam, 2003: 1–21.

Rowan-Campbell D. 1999. Introductory essay. In D Eade (ed.), Development with women: *Selected essays from development in practice*. Oxford: Oxfam, 1999: 11–31.

Rowntree, BS. 1941. *Poverty and progress: A second social survey of York*. London: Longman's, Green and Co.

Rushmer, R & Kelly, D. 2004. Introducing the learning practice. *Journal of Evaluation in Clinical Practice*, 10(3):387–389.

Saltmarshe, D, Ireland, M & McGregor, JA. 2003. The performance framework: A systems approach to understanding performance management. *Public Administration and Development*, 23:445–456.

Samoff, J & Stromquist, NP. 2001. Managing knowledge and storing wisdom? New forms of foreign aid? *Development and Change*, 32:631–656.

Sanders, CK. 2002. The impact of micro-enterprise assistance programs: A comparative study of program participants, non-participants and other low-wage workers. *Social Service Review*, June:321–340.

Scholes, J. 2005. Reflections on the relevance of systems thinking to management practice. *Systemist*, 27(2):132–145.

Seleka, TB. 1999. The performance of Botswana's traditional arable agriculture: Growth rates and the impact of the accelerated rain fed arable programme (ARAP). *Agricultural Economics*, 20(2):121–133.

Semboja, HHH. 2004. Small is beautiful, but growth is inevitable: Experiences of apex institutions in Senegal and Tanzania. *Development Southern Africa*, 21(5):867–878.

Sen, AK. 1985. *Commodities and capabilities*. Amsterdam: North Holland.

Sen, AK. 1992. *Inequality re-examined*. Oxford: Oxford University Press.

Sen, AK. 1993. Capability and well-being. In M Nussbaum & AK Sen. (eds.), *The quality of life*. Oxford: Clarendon Press, 1993: 30–54.

Sen, AK. 1997. *Choice, welfare and measurement*. Cambridge, Mass: Harvard University Press.

Sen, AK. 1999. *Development as freedom*. Oxford: Oxford University Press.

Sen, B & Hulme, D. 2004. Chronic poverty in Bangladesh tales of ascent, descent, marginality and persistence. Bangladesh Institute of Development Studies (BIDS), Bangladesh and Chronic Poverty Research Centre (CPRC), University of Manchester.

Senge, P, Scharmer, CO, Jaworski, J & Flowers, BS. 2005. *Presence: Exploring profound change in people, organizations and society*. London: Nicholas Brealey.

Senge, PM, Kleiner, A, Roberts, C, Ross, RB & Smith, BJ. 1994. *The fifth discipline fieldbook: Strategies and tools for building a learning organization*. New York: Knopf Doubleday.

Serr, K. 2004. Voices from the bottom. *Australian Social Work*, 7(2):137–149.

Sice, P & French, I. 2006. A holistic frame-of-reference for modelling social systems. *Kybernetes*, 35(6):851–864.

Siegall, M & Gardner, S. 2000. Contextual factors of psychological empowerment. *Personnel Review*, 29(6):703–722.

Sinha, S, Samuel, J & Quiñones, B. 2000. Microfinance in India: Adjusting to economic liberalization. In J Remenyi & B Quiñones (eds.), *Microfinance and poverty alleviation: Case studies from Asia and the Pacific*. New York: Routledge, 2000: 84–107.

Siphambe, HK. 2003. Understanding unemployment in Botswana. *The South African Journal of Economics*, 71(3):480–495.

Smith, J & Subbarao, K. 2003. *What role for safety net transfers in very low-income countries?* Social Protection Discussion Paper Series. Washington, D.C.: World Bank.

Smith, SC. 2005. *Ending global poverty*. New York: Palgrave Macmillan.

Solesbury, W. 2003. *Sustainable livelihoods: A case study of the evolution of DFID policy*. Hyperlink [http://www.odi.org.uk/publications/working_papers/wp217.pdf]. 17 January 2008.

Spicker, P. 2001. The rights of the poor: Conceptual issues. In P Robson & A Kjønstad (eds.), *Poverty and the law*. Oxford: Hart, 2001: 3–16.

Spreitzer, GM. 1996. Social structural characteristics of psychological empowerment. *Academy of Management Journal*, 39(2):483–504.

Stewart, J & Ayres, R. 2001. Systems theory and policy practice: An exploration. *Policy Sciences*, 34(1): 79–94.

Strachan, PA. 1996. Managing transformational change: The learning organisation and team working. *Team Performance Management: An International Journal*, 2(2):32–40.

Strauss, A & Corbin, J. 1990. *Basics of qualitative research: Grounded theory procedures and techniques.* London: Sage.

Szeman, I. 2005. Lessons for theatre of the oppressed from a Romanian orphanage. *New Theatre Quarterly*, 21(4):340–357.

Tabor, SR. 2002. *Assisting the poor with cash: Design and implementation of social transfer programmes*. Social Protection Discussion Paper Series: Social Protection Unit. Washington D.C.: World Bank.

Tarride MA. 2006. Method for systems definition. *Kybernetes*, 35(5):680–687.

Tembo, F. 2003. *Participation, negotiation and poverty: Encountering the power of images*. Aldershot: Ashgate.

Tilak, JBG. 2002. Education and poverty. *Journal of Human Development*, 3(2):191–207.

Toner, A & Franks, T. 2006. Putting livelihoods thinking into practice: Implications for development management. *Public Administration and Development*, 26:81–92.

Torres, L, Bhorat, H, Leibbrandt, M & Cassim, F. 2000. Poverty and the labour market. In J May (ed.), *Poverty and inequality in South Africa: Meeting the challenge*. Cape Town: David Philip, 2000: 73–96.

Townsend, P. 1979. *Poverty in the United Kingdom*. Harmondsworth: Penguin.

Tripp, D. 2003. *Action inquiry. Action research e-reports*. Hyperlink [http://wwwfhs.usyd.edu.au/arow/arer/017.htm]. 24 December 2008.

Tungaraza, FSK. 2004. The case of Tanzania. In MP Olivier & ER Kalula (eds.), *Social protection in SADC: Developing an integrated and inclusive framework.* Cape Town: University of Cape Town Press, 2004: 178–197.

Ulrich, W. 1983. *Critical heuristics of social planning: A new approach to practical philosophy*. Chichester: Wiley.

Ulrich, W. 2000. Reflective practice in the civil society: The contribution of critically systemic thinking. *Reflective Practice*, 1(2):247–268.

Ulrich, W. 2003. Beyond methodology choice: Critical systems thinking as critically systemic discourse. *Journal of the Operational Research Society*, 54(4):325–342.

Ulrich, W. 2005. *A brief introduction to critical systems heuristics*. Hyperlink [http://www.ecosensus.info/about/index.html]. 25 March 2008.

Underlid, K. 2006. Poverty and experiences of insecurity: A qualitative interview study of 25 long-standing recipients of social security. *International Journal of Social Welfare*, 16:65–74.

United Nations Development Program (UNDP). 1990. *Human development report*. New York.

United Nations Development Program (UNDP). 1998. *Capacity assessment and development in a systems and strategic management context*. Hyperlink [http://www.pogar.org/publications/other/undp/governance/capsystech3-98e.pdf]. 12 March 2008.

United Nations Development Program (UNDP). 2005. *Botswana human development index*. Gaborone.

United Nations Economic and Social Commission for Asia and the Pacific. 2000. *Urban poverty alleviation*. Hyperlink [http://www.Unescap.org/huset/Hangzhou/urban_poverty.htm]. 15 August 2006.

University of Texas Library. (s.a.). *Botswana map*. Hyperlink [http://www.lib.utexas.edu/maps/africa/botswana_rel95.jpg]. 21 December 2007.

Van der Merwe M, Mberengwa, LR & Lekoko RN. 2008. *Community empowerment in Botswana: The practitioners' perspective*. Conference proceedings of the Ninth International SAAFECS Conference. University of Pretoria, South Africa, 13–16 May 2008.

Van der Veen, R & Preece, J. 2005. Poverty reduction and adult education: Beyond basic education. *International Journal of Lifelong Education*, 24(5):381–391.

Vasilachis de Gialdino, IV. 2006. Identity, poverty situations and the epistemology of the known subject. *Sociology*, 40(3):473–491.

Vijayaragavan, K & Singh, YP. 1997. Managing human resources within extension. In BE Swanson, RP Bentz & AJ Sofranko (eds.), *Improving agricultural extension: A reference manual*. Rome: Food Agriculture Organisation of United Nations, 1997: 180–202.

Vorster, JH. 2000. Getting social security into gear: Reflection on welfare reform in South Africa. Conference proceedings of the International Research Conference on Social Security. Helsinki, Finland, 25–27 September 2000.

Wagle, U. 2005. Multidimensional poverty measurement with economic well-being, capability and social inclusion: A case from Kathmandu, Nepal. *Journal of Human Development*, 6(3):301–328.

Wainwright, SP. 1997. A new paradigm for nursing: The potential of realism. *Journal of Advanced Nursing*, 26:1268–1271.

Wang, CL & Ahmed, PK. 2002. *Tapping into the softness of soft systems*. Telford: University of Wolverhampton.

Waxman, C. 1983. *The stigma of poverty: A critique of poverty theories and policies*. New York: Pergamon Press.

Wessels, JS. 2000. Equipping public officials for the challenges of responsible governance: A South African perspective on lifelong learning. *International Review of Administrative Sciences*, 66:311–324.

Wheeler, RS & Haddad, L. 2005. *Reconciling different concepts of risk and vulnerability: A review of donor documents*. Hyperlink [www.fao.org/docs/up/easypol/323/basic_pov_measures_007EN.pdf]. 20 March 2008.

World Bank. 2001. *World development report 2000/2001*. Oxford: Oxford University Press.

Zimmerman, MA. 1995. Psychology empowerment: Issues and illustrations. *American Journal of Community Psychology*, 23:581–600.

Zimmerman, MA. 2000. Empowerment theory: Psychological, organization, and community levels of analysis. In J Rappaport & E Seidman (eds.), *The handbook of community psychology*. New York: Plenum Press, 2000: 43–63.

Zuber-Skerritt, O. 1991. *Action research for change and development*. Avebury: Aldershot.

Zulauf, C. 2007. Learning to think systemically: What does it take? *The Learning Organization*, 14(6):489–498.