

# The empowerment of local development NPOs as agents for social change through participatory communication

L dos Santos



[orcid.org/0000-0002-9541-8252](https://orcid.org/0000-0002-9541-8252)

Dissertation submitted in partial fulfilment of the requirements for the degree *Master of Arts* in *Communication Studies* at the North-West University

Supervisor:

Ms H Otto

Graduation May 2018

Student number: 11338776



## **PREFACE AND ACKNOWLEDGEMENTS**

This dissertation was written, fuelled by copious amounts of tea and prayer. It was a process which was simultaneously a great privilege and self-imposed torture, which I was thankful to have experienced, even in times of tremendous loss and trial in my personal life. I have reached a new level of critical thinking, personal growth, strength and faith.

With great thanks to my study leader, Ms Hannelie Otto, my loved ones and colleagues whom offered continual motivation and support, and with tremendous patience and restraint listened to my frequent lamentations about my slow progress. Hannelie, thank you for your excellent guidance and for believing in me.

I also wish to express my gratitude to the study participants for their time and willingness to be involved in this study – may your contributions help others who follow in your footsteps.

Finally, thank you to Ms Cheryl Eagger for the language editing, and to Ms Marleen Coetzee and several friends for your help in transcribing the 16 interviews.

## OPSOMMING

Hierdie studie verken hoe deelnemende kommunikasie as 'n bemagtigende proses ingespan kan word vir klein, plaaslike Nie-Winsgewende Organisasies (NWO's), om bemiddelaars vir sosiale verandering te word. Die teoretiese basis vir die studie is deelnemende kommunikasie in 'n raamwerk van bemagtiging. Die navorser se riglynargument voer aan dat ontwikkeling en sosiale verandering nie sonder deelnemende kommunikasie, dialoog, en bemagtiging wat lei tot selfonderhoud, met die inagneming van kulturele verskille, kan plaasvind nie. Die aanname is dat die bemagtiging of bemiddeling van plaaslike NWO's sal lei tot sosiale verandering tot voordeel van hulself en die gemeenskap deur hulle in staat sal stel om op te tree, selfonderhoudend te word en om insae in beplanning te hê.

Die studie se navorsingsontwerp behels 'n kwalitatiewe, multi-gevalllestudie wat vyf plaaslike ontwikkelings-NWO's sowel as drie verteenwoordigers elk van die Privaatsektor en Openbare Sektor ingesluit het, om 'n meervoudige perspektief op hulle gebruik van deelnemende kommunikasie en hoe dit met bemagtiging verband hou, te verkry. Die studie se navorsingsmetodiek behels 'n literatuurstudie, sowel as 11 semi-gestruktureerde onderhoude en vyf fokusgroepgesprekke met bogenoemde deelnemers. Die kernbegrippe van die deelnemende benadering van belang vir hierdie studie is dialoog, deelname, kulturele diversiteit en bemagtiging wat lei tot selfonderhoud. Die resultate van elk van die bogenoemde drie sektore is in ooreenstemming met die riglynargumente wat vanuit die literatuurstudie voortspruit en wat vir elk van hierdie kernbegrippe geformuleer is, bespreek en vergelyk.

Dit blyk onwaarskynlik te wees dat organisasies bemagtig kan word om die groter omgewing en gemeenskap te beïnvloed of te verander alvorens die individuele lede van die organisasies self nie bemagtig is nie, omdat hulle waarskynlik minder geneë sal wees om deel te neem, of sal vaardig wees in besluitneming of probleemoplossende gedrag.

Die empiriese resultate dui aan dat slegs een uit die vyf NWO's in die gevalllestudie bemagtig is, en dat nóg die Privaatsektor nóg die Openbare Sektor vir die NWO's as bemiddelaars bemagtigend is. Vertroue, respek en gedeelde betekenis of konteks, is as sleutel bepalende faktore in die deelnemende benadering en bemagtigingsproses geïdentifiseer. Hierdie faktore het bepaal of dialoog en deelname tussen die partye plaasgevind het al dan nie, terwyl kulturele diversiteit die kwaliteit van sosiale interaksie, gedrag, dialoog en die deelnemers se bereidwilligheid om deel te neem, beïnvloed het.

Die resultate het aangedui dat die NWO's tans vir oorlewing veg en slegs optree as verligters van sosiale nood, eerder as bemiddelaars vir sosiale verandering. NWO's kan sodoende nie as bemiddelaars van verandering in die gemeenskap optree indien hulle nie self bemagtig is nie en

boonop die geleentheid het, of oor vaardighede beskik, om by sosiale en politieke sferes betrokke te wees nie. Die studie het bevind dat die NWO's tans slegs daartoe in staat is om hulself te bemagtig, aangesien hulle nie oor die bemagtigende deelname in samewerking met die Privaat- of Openbare Sektor beskik nie, en hulle dit moeilik vind om in dialoog en gesamentlike besluitneming op gelyke vlakke met hierdie sektore te tree.

Die verantwoordelikheid vir hulle bemagtiging lê dus gesamentlik by die NWO's, die Privaat- en Openbare Sektore. Daarom word daar voorgestel dat al drie die sektore langtermynverhoudings met mekaar vestig, wat hoë-vlak deelname en horisontale, twee-rigtingdialoog, geskoei op vertroue en respek, behels. Verder is dit aanbeveel dat daar gesamentlik gefokus word op die gemeenskaplik geïdentifiseerde doelwit om voorligting en opleiding aan NWO's te bied. Voorligting en opleiding gebaseer op mentorskap, deelname en die inagneming van kultuur en inheemse kennis, word in die volgende gebiede aanbeveel: finansiële bestuur, fondswerwing en kommunikasievaardigheidsopleiding wat verband hou met organisatoriese kultuur, skakelwerk, bemerking en belangegroepverhoudings.

### **Sleutelwoorde**

Bemiddelaar, dialoog, bemagtiging, veranderingsagente, kulturele diversiteit, ontwikkeling en sosiale verandering, Nie-Winsgewende Organisasies, deelname, deelnemende kommunikasie, Privaatsektor, Openbare Sektor.

## **ABSTRACT**

This study explores how participatory communication can be used as an empowering process for small local Non-Profit Organisations (NPOs) in becoming agents of social change. The theoretical basis for the study is participatory communication against a framework of empowerment. The researcher's guiding argument is that development and social change cannot take place without participatory communication, dialogue and empowerment leading to self-reliance, whilst taking cultural differences into account. The assumption is that empowering or enabling local NPOs by giving them agency to act, the opportunity to become self-reliant, and to have input in planning, should result in social change to the benefit of themselves and the community.

The research design in the study adopted a qualitative, multi-case study which included five local development Non-Profit Organisations (NPOs), as well as three representatives of the Private Sector and three representatives of the Public Sector, to gain a multi-perspective view on their use of participatory communication and how it relates to empowerment. The research methods of this study comprised a literature review, 11 semi-structured interviews and five focus group discussions with above-mentioned participants. The core concepts of the participatory approach identified as relevant to this study are dialogue, participation, cultural diversity, and empowerment leading to self-reliance. The results from each of the three sectors were discussed and compared in accordance with guiding arguments that were derived from the literature and formulated for each of these core concepts.

It seems unlikely that organisations can be empowered to influence or change the larger environment and community without first empowering the individual members in the organisation itself, as they would be less likely to participate or be skilled in decision-making and problem-solving behaviours.

The empirical results show that only one of the five case study NPOs is empowered, and that neither the Private nor Public Sector are currently empowering agents to the NPOs. Trust, respect and a shared meaning or context were identified as key determining factors in the participatory communication approach and the empowerment process. These factors determined whether or not dialogue and participation occurred between the parties while cultural diversity influenced the quality of social interaction, behaviour, dialogue and their willingness to participate.

The results indicated that the NPOs are at the moment survivalist and merely capable of being relievers of social need instead of agents of social change. NPOs cannot be change agents in the community if they themselves are not empowered and given the opportunity or skills to

participate in social and political arenas. The study found that the NPOs only have the opportunity to empower themselves, since they do not have the opportunity at empowered participation with the Private or Public Sector, and have difficulty in engaging dialogue and collective decision-making on equal terms with these sectors.

The responsibility for empowerment lies jointly with the NPOs, Private and Public Sectors. Therefore, it is recommended that all three sectors invest in long-term relationships with each other, which include high-level participation and horizontal two-way dialogue built on trust and respect, with a collective focus on the mutually identified goal of education and training of NPOs. Recommendations for training and education based on mentorship, participation and the consideration of culture and indigenous knowledge in the following fields were also made: financial management, fundraising and communication skills training relating to organisational culture, public relations, marketing, and stakeholder relationships.

### **Keywords**

Agency, dialogue, empowerment, change agents, cultural diversity, development and social change, Non-Profit Organisations, participation, participatory communication, Private Sector, Public Sector.

# Table of Contents

<b>PREFACE AND ACKNOWLEDGEMENTS</b> .....	<b>i</b>
<b>OPSOMMING</b> .....	<b>ii</b>
<b>ABSTRACT</b> .....	<b>iv</b>
<b>CHAPTER 1: INTRODUCTION AND BACKGROUND</b> .....	<b>1</b>
<b>1.1 INTRODUCTION</b> .....	<b>1</b>
<b>1.2 PROBLEM STATEMENT</b> .....	<b>3</b>
<b>1.3 RESEARCH QUESTIONS</b> .....	<b>4</b>
1.3.1 Specific research questions .....	5
<b>1.4 RESEARCH AIMS</b> .....	<b>5</b>
1.4.1 General research aim.....	5
1.4.2 Specific research aims .....	5
<b>1.5 THEORETICAL GUIDING ARGUMENTS</b> .....	<b>6</b>
<b>1.6 RESEARCH APPROACH</b> .....	<b>7</b>
<b>1.7 RESEARCH METHODS</b> .....	<b>7</b>
1.7.1 Literature study .....	7
1.7.2 Empirical Research Methods .....	8
<b>1.8 DEFINITION AND CLARIFICATION OF CONCEPTS RELEVANT TO THE STUDY</b> .....	<b>11</b>
1.8.1 Development communication.....	11
1.8.2 Communication for social change .....	12
1.8.3 Non-Profit Organisations (NPOs).....	13
1.8.4 Private Sector.....	15

1.8.5	Public Sector .....	15
1.8.6	The Potch-Tlokwe Chamber of Commerce (the Chamber).....	16
1.8.7	Department of Social Development (DSD) .....	17
1.8.8	Tlokwe City Council Local Municipality (The Municipality).....	17
1.8.9	Office for Transversal Issues .....	17
1.8.10	North-West University (NWU) .....	18
<b>1.9</b>	<b>STRUCTURE OF THE STUDY.....</b>	<b>18</b>
<b>1.10</b>	<b>SUMMARY.....</b>	<b>19</b>
<b>CHAPTER 2: EMPOWERMENT IN THE CONTEXT OF COMMUNICATION FOR DEVELOPMENT AND SOCIAL CHANGE .....</b>		<b>21</b>
<b>2.1</b>	<b>INTRODUCTION.....</b>	<b>21</b>
<b>2.2</b>	<b>HISTORIC OVERVIEW OF DEVELOPMENT COMMUNICATION.....</b>	<b>22</b>
2.2.1	Dominant paradigm: modernisation .....	22
2.2.2	Opposing paradigm: Dependency theory.....	31
2.2.3	Emerging paradigm: 'Another development' and Multiplicity .....	34
2.2.4	Towards Participation in communication for development and social change ....	36
2.2.5	The participatory approach .....	37
<b>2.3</b>	<b>EMPOWERMENT EXAMINED .....</b>	<b>54</b>
2.3.1	Empowerment is an interdisciplinary concept with various definitions.....	54
2.3.2	Empowerment at different levels: individual, organisational and community level.....	56
2.3.3	Empowered organisations and empowering organisations.....	57
2.3.4	Empowerment for participatory development and social change.....	58
2.3.5	Conclusion .....	60

<b>2.4</b>	<b>SUMMARY.....</b>	<b>61</b>
<b>CHAPTER 3: RESEARCH DESIGN AND METHODOLOGY .....</b>		<b>62</b>
<b>3.1</b>	<b>Introduction .....</b>	<b>62</b>
<b>3.2</b>	<b>Qualitative research.....</b>	<b>62</b>
<b>3.3</b>	<b>Research design and methodology .....</b>	<b>63</b>
3.3.1	Research questions .....	66
3.3.2	Concepts and operational definitions of constructs.....	67
3.3.3	Sampling of participants/cases .....	70
<b>3.4</b>	<b>Information collection methods.....</b>	<b>75</b>
3.4.1	Literature study .....	75
3.4.2	Semi-structured interviews.....	76
3.4.3	Focus group discussions.....	82
<b>3.5</b>	<b>Reliability, validity and triangulation.....</b>	<b>84</b>
<b>3.6</b>	<b>Challenges experienced .....</b>	<b>86</b>
3.6.1	Semi-structured interviews.....	86
3.6.2	Focus groups .....	86
<b>3.7</b>	<b>Ethical considerations.....</b>	<b>87</b>
<b>3.8</b>	<b>Conclusion.....</b>	<b>88</b>
<b>CHAPTER 4: ANALYSIS AND INTERPRETATION OF FINDINGS .....</b>		<b>89</b>
<b>4.1</b>	<b>INTRODUCTION.....</b>	<b>89</b>
<b>4.2</b>	<b>RESULTS FROM THE NPOS .....</b>	<b>89</b>
4.2.1	Dialogue .....	90
4.2.2	Participation .....	111

4.2.3	Cultural Diversity .....	128
4.2.4	Empowerment .....	139
<b>4.3</b>	<b>RESULTS FROM THE PRIVATE SECTOR .....</b>	<b>157</b>
4.3.1	Dialogue .....	157
4.3.2	Participation .....	160
4.3.3	Cultural Diversity .....	164
4.3.4	Empowerment .....	166
<b>4.4</b>	<b>RESULTS FROM THE PUBLIC SECTOR .....</b>	<b>170</b>
4.4.1	Dialogue .....	170
4.4.2	Participation .....	174
4.4.3	Cultural Diversity .....	177
4.4.4	Empowerment .....	179
<b>4.5</b>	<b>Conclusion.....</b>	<b>183</b>
<b>CHAPTER 5: CONCLUSIONS AND RECOMMENDATIONS .....</b>		<b>184</b>
<b>5.1</b>	<b>INTRODUCTION.....</b>	<b>184</b>
<b>5.2</b>	<b>ANSWERING RESEARCH AIMS 1 – 2: LITERATURE STUDY AND THEORETICAL BACKGROUND .....</b>	<b>184</b>
5.2.1	Guiding argument on dialogue .....	185
5.2.2	Guiding argument on participation .....	186
5.2.3	Guiding argument on cultural diversity.....	188
5.2.4	Guiding argument on empowerment leading to self-reliance .....	189
5.2.5	Conclusion .....	191
<b>5.3</b>	<b>ANSWERING RESEARCH AIMS 3 - 5: EMPIRICAL STUDY .....</b>	<b>192</b>

5.3.1	Research Aim 3: NPOs .....	192
5.3.2	Research Aim 4: Private Sector .....	198
5.3.3	Research Aim 5: Public Sector .....	199
<b>5.4</b>	<b>GENERAL RESEARCH AIM.....</b>	<b>200</b>
5.4.1	Final interpretation conclusion and of empirical results .....	201
5.4.2	Conclusion .....	202
5.4.3	Recommendations to participating sectors in the study .....	204
<b>5.5</b>	<b>SHORTCOMINGS OF THE STUDY AND OPPORTUNITIES FOR FURTHER RESEARCH.....</b>	<b>207</b>
<b>5.6</b>	<b>CLOSING REMARKS.....</b>	<b>209</b>
	<b>Bibliography .....</b>	<b>211</b>
	<b>Annexure A Example of letter requesting participation in interview: NPO.....</b>	<b>225</b>
	<b>Annexure B Example of letter requesting participation in interview: Public Sector .....</b>	<b>226</b>
	<b>Annexure C Example of letter requesting participation in interview: Private Sector .....</b>	<b>227</b>
	<b>Annexure D Interview Schedule.....</b>	<b>228</b>
	<b>Annexure E Solemn Declaration.....</b>	<b>229</b>
	<b>Annexure F Confirmation of Language Editing.....</b>	<b>230</b>

**List of Tables**

Table 3.1 Research Questions and Corresponding Research Methods.....65

Table 3.2 Concepts and constructs derived from literature study .....67

Table 3.3 Sizing indicators for chosen case study NPOs.....72

Table 3.4 Semi-structured interview questions to NPO representatives .....78

Table 3.5 Semi-structured interview questions to Private and Public Sectors’  
representatives.....80

Table 3.6 Focus group questions.....83

**List of Figures**

Figure 2.1 Lasswell's communication effects approach.....25

Figure 2.2 Berlo's SMCR process of communication.....26

Figure 3.1 Basic Types of Designs for Case Studies.....65

**List of Text Boxes**

Text Box 2.1 Guiding argument on dialogue.....45, 186

Text Box 2.2 Guiding argument on participation .....48, 187

Text Box 2.3 Guiding argument on cultural diversity.....52, 188

Text Box 2.4 Guiding argument on empowerment leading to self-reliance.....59, 190

# CHAPTER 1: INTRODUCTION AND BACKGROUND

## 1.1 INTRODUCTION

Communication for social change highlights the role of communication in addressing social problems and has traditionally been conceptualised against a background of development projects (Dutta, 2011:38). According to Wilkins (2008:1), development communication (later known as communication for social change) refers

“...to a process of strategic intervention towards social change, initiated and engaged by organisations and communities. Development itself encompasses participatory and intentional strategies designed to benefit the entire Public, whether in terms of material, political or social needs”. The dominant development paradigm of the 20th century focused on modernisation and wealth accumulation as keys to economic growth. However, in the 1980s the participatory approach to development communication originated as critique on the modernisation paradigm and has become the normative approach to development communication (Huesca & Dervin, 1997:46; Servaes, 1995:39-49; Huesca, 2003:500, Jacobson, 2003:90-91; Mefalopulos, 2008:44-52; Servaes & Lie, 2013:8-11; Thomas, 2014; Wilkens *et al.*, 2014).

The Non-Profit Organisations (NPO) Sector's contribution to development and social change is acknowledged, but exploring their use of participatory communication and their empowerment as organisations has not been fully explored. The role players in the discipline and practice of communication for social change are identified as the community (i.e. beneficiaries); the Government (i.e. Public Sector); companies responsible for corporate social investment (i.e. Private Sector); international development agencies like the United Nations (UN) or World Bank; and Non-Governmental Organisations<sup>1</sup> (NGOs) (i.e. civil, third or volunteer Sector) (Davids *et al.*, 2009).

In comparing these different development role players, the size of the South African Non-Profit Organisations (NPO) Sector, in terms of its total employment, volunteers and finances, as well as its spread across different Sectors of activity, is huge and has surpassed the size of the Private and Public Sector (Davids *et al.*, 2009:69). This makes the NPO Sector an invaluable contributor to the country's development and therefore a relevant Sector for study. According to communication specialists Eisenberg and Eschenfelder (2009:357-359), NPOs face very similar challenges to the Private Sector, like shrinking resources, increased competition, and nearly

---

<sup>1</sup> The South African Department of Social Development uses the term NPO to collectively refer to all non-profit organisations - including non-Governmental organisations (NGOs), community-based organisations (CBOs), faith-based organisations (FBOs), public benefit organisations (PBOs) and civil society organisations. Consequently, this study will continue to use the term NPO throughout.

constant change. Globalisation, the increasingly multinational nature of business and electronic communication, has caused a parallel reduction in the powers of the Government to affect development and a rise in the powers of the Private Sector (Eisenberg & Eschenfelder, 2009:357-359). According to Heap (2000:555), the rapidly changing external environment is having major implications for the role of NPOs, their sources of funding, the nature of their relationships and their activities.

Communication scholars, more specifically scholars within the sub discipline of communication for social change, must take cognisance of how NPOs employ communication to deal with these external pressures. From a communication for social change perspective this would also mean investigating how participatory communication, as a collective dialogic process of identifying problems, inspiring action and creating knowledge (Freire, 1970; Nair & White, 1993; Thomas, 1994; Servaes & Arnst, 1999; Servaes, 2008, 1998, 1996, 1995; Melkote & Steeves, 2001; Mefalopoulos, 2004, 2008; Thomas, 2014; Wilkens *et al.*, 2014), helps NPOs to become empowered, self-reliant and consequently servers of the community as agents of social change.

As the participatory approach is considered to be the current normative approach to communication for social change, it makes sense to study this Sector according to the following identified relevant core concepts of the participatory approach: dialogue, participation, consideration of cultural diversity, and empowerment leading to self-reliance (Nair & White, 1993:54; Rahim, 1994:6; Jacobson & Kolluri, 1999:268; Melkote & Steeves, 2001:337-338; Wilkens *et al.*, 2014 ).

Much is written about the management and role of NGOs in the development process, and their impact on society (for instance Martínez, 2008; Davis *et al.* 2008: 68-75; Edwards & Hulme, 1992, 1995; Lewis, 2007; Pearce & Eade, 2006; Van Puyvelde *et al.* 2012). With international, northern hemisphere and professional NGOs operating in most of the developing world, Governments have started to rely heavily on NGOs for service delivery and development programmes. South Africa is no exception and has a large number of NGOs/NPOs operating in different Sectors to improve economic and social service delivery and development of poor communities where the Public Sector (i.e. local, provincial and municipal Government) fails to provide such services (Barnard & Terreblanche, 2001:17; CASE, 2003:1; Department of Social Development, 2012:2, 2005:33-35). The Department of Social Development (2008) even states on its website that one of its core functions is to provide social welfare services through sustainable development programmes *in partnership with* (own emphasis) implementing agents such as State-funded institutions and NPOs.

This study focuses on the NPO Sector involved in Development and Housing, and Social Services, because they are the second and first largest Sectors at 22% and 35% of the NPO

Sector respectively in South Africa (South Africa, 2011). Local NPOs of different sizes operating in the Tlokwe City Council Local Municipality area, in the Dr. Kenneth Kaunda District Municipality in the North West Province will be the case studies. These NPOs are accessible, represent a variety of social issues and, while they have the same Sector classification in common, they offered interesting differences during the course of the research. The study will include both formal and the less formally structured NPOs, some of which potentially lack the necessary capacity or expertise to run sustainably and become self-reliant (Steenkamp, 2013; South Africa, 2005:51), creating an opportunity for empowerment to take place via participatory communication. All of them have experiences to share about dealing with the Public and Private Sectors on a regular basis.

## **1.2 PROBLEM STATEMENT**

According to a municipal councillor of the Tlokwe City Council Local Municipality working with “transversal issues, capacity building and empowerment”, there are plenty of local NPOs with similar interests/themes, but co-operation between them is poor, and few are successful. Many are just waiting for charitable handouts instead of actively managing their NPO as a “business” and making a noticeable difference to the community (Steenkamp, 2013). Steenkamp (2013) is of the opinion that it seems that most local community based NPOs are in dire need of skills empowerment and that many of these small grassroots organisations have not yet progressed beyond merely identifying a social or developmental need, and have not taken significant action to address the need besides looking for money and sympathy.

Most of these organisations lack the necessary capacity or know-how to run effectively, efficiently and sustainably and need to be empowered to serve the community more efficiently by engaging in participatory communication solutions and strategies to address their problems, focusing on self-reliance and self-management (Royal Bafokeng Nation, 2013; South Africa, 2005:51; White, 2004:9).

Although the Department of Social Development (2008) indicates that it has partnerships with NPOs, initial exploratory discussions with different NPOs indicated that communication between themselves and Government was limited and did not reflect participation or dialogue, and was filled with mistrust and frustration. Frustration with Government was a shared struggle, while other daily struggles varied among NPOs depending largely on the language, culture, nationalities and education backgrounds of their managers and staff. These included funding, access to resources, organisational and intercultural communication obstacles. Relationships between NPOs and the Private Sector do not fare much better with negative stereotypical

perceptions running deep on both sides, leading to mutual suspicion and resistance to change (Heap 1998, 2000).

Theoretically speaking, the different development role players (i.e. Public, Private and Non-profit Sectors), as mentioned in the introduction, should have the same objective of engaging in participatory and intentional strategies designed to benefit the public good (Wilkins 2008:1); which means that they would benefit from participatory communication and collaboration with each other as stakeholders. The initial exploratory discussions mentioned above, however indicate challenges in this respect.

The goal of participatory communication in a development setting is to involve people in dialogue, get them to participate in critical thinking about societal needs and inspire problem solving action in order to empower or promote change (Freire, 1970; Nair & White, 1993; Thomas, 1994; Moemeka 1994:15; Servaes & Arnst, 1999; Servaes, 2008, 1998, 1996, 1995; Melkote & Steeves, 2001; Mefalopulos, 2004, 2008; Thomas, 2014; Wilkens *et al.*, 2014). The development literature referring to empowerment focuses on the process in which individuals, organisations, or the community experience freedom of choice and gain control over circumstances and decisions that influences their lives. This has the effect of increasing their capacity, access to resources and social justice (Rappaport 1987; Zimmerman & Rappaport 1988; Schulz *et al.*, 1993; White, 1994; Zimmerman, 1995; Melkote and Steeves 2001; Ander *et al.*, 2001; Peterson & Zimmerman, 2004; Chitnis, 2005).

With this in mind as well as the huge potential of NPOs to be change agents inspiring social change and addressing developmental needs in the local community, it is prudent to investigate how NPOs can be empowered to increase their capacity, access to resources and social reach. Reflecting on how NPOs' engage in participatory communication with stakeholders, should give an indication of how it can lead to their empowerment in order to promote social change in their communities.

### 1.3 RESEARCH QUESTIONS

Against this background and in the context of the participatory communication paradigm, an empowerment framework and applied communication research, the following general research question emerges: ***How can participatory communication be used as an empowering process for local NPOs to become agents of social change?***

In response to the general research question, the following specific research questions and aims are set:

### **1.3.1 Specific research questions**

- 1.3.1.1 What are the relevant assumptions on participatory communication and how it is linked to empowerment according to the recent theories of communication for social change?
- 1.3.1.2 How is empowerment defined according to recent theories of communication for development and social change?
- 1.3.1.3 According to the NPOs, how are their organisations being empowered?
- 1.3.1.4 How does the Public Sector view the empowerment process of local NPOs?
- 1.3.1.5 How does the Private Sector view the empowerment process of local NPOs?

## **1.4 RESEARCH AIMS**

The first two specific research aims noted below, will be reached by reviewing the recent and relevant literature available on communication for development and social change, specifically theories on participatory communication against a framework of empowerment. The remaining three specific research aims will be reached by doing empirical qualitative research by means of gathering data using interviews and focus groups with the NPOs themselves, members of the Private Sector (engaged in corporate social investment) and Public Sector (the local Dr. Kenneth Kaunda District branch in Potchefstroom of the Department for Social Development, and Tlokwe City Council Local Municipal councillors).

### **1.4.1 General research aim**

The general research aim that follows from the problem statement and related research questions is: *To ascertain how participatory communication can be used to empower local NPOs as agents of social change.*

### **1.4.2 Specific research aims**

- 1.4.2.1 To discuss the relevant assumptions on participatory communication and how it is linked to empowerment according to recent theories of communication for social change, by engaging in a literature study.
- 1.4.2.2 To define empowerment according to recent theories of communication for development and social change, by engaging in a literature study.

- 1.4.2.3 To learn how the organisations are being empowered, according to the NPOs themselves via semi-structured interviews and focus groups.
- 1.4.2.4 To determine how the Private Sector views the empowerment process of local NPOs via semi-structured interviews.
- 1.4.2.5 To determine how the Public Sector views the empowerment process of local NPOs via semi-structured interviews.

## **1.5 THEORETICAL GUIDING ARGUMENTS**

As already mentioned in the introduction, currently the participatory approach is considered the normative approach to communication for development and social change and is based on the following basic principles: dialogue, participation, cultural diversity, and empowerment (leading to self-reliance) have been identified as most salient (Jacobson & Kolluri, 1999:268; Melkote & Steeves, 2001:337-338; Nair & White, 1993:54; Rahim, 1994:6).

The theoretical basis for this study is participatory communication against a framework of empowerment, while the researcher's general guiding argument is that development and social change cannot take place without participatory communication and, therefore, dialogue (implying trust and relationship) as well as empowerment, whilst considering cultural differences.

Participatory communication is defined as "the opening of dialogue, source and receiver interacting continuously, thinking constructively about the situation, identifying developmental needs and problems, deciding what is needed to improve the situation, and acting upon it" (Nair & White, 1993:51).

The empowerment process is understood as increasing the capacity of individuals or groups to make purposeful choices and their capacity to transform these choices into desired actions and outcomes. Empowerment is a communicative process and human interaction is necessary for it to occur, but empowered individuals are also more likely to engage in community participation (Dutta, 2011:252; Narayan, 2005; Papa *et al.*, 2000).

Strategies on the empowerment of communities are well documented, but this study proposes that the empowerment of NPOs themselves, enabling them to do the work which communities and Government are dependent on, should be explored. It is the assumption of the study that empowering or enabling local NPOs by giving them agency to act, to become self-reliant, and to

have an input in planning and policy making should result in social change to the benefit of themselves and the community.

## **1.6 RESEARCH APPROACH**

The researcher's objective was to conduct research, by collecting information from individuals and focus groups, that is not devoid of context, meaning and personal experience. For this reason qualitative research was the most suitable for this study as it involves studying phenomena in their full complexity, portraying an issue in all its facets and in totality, and therefore rarely tries to simplify what was observed (Leedy & Ormrod, 2013:135). Qualitative research focuses on the socially constructed nature of reality and the qualities of entities, processes and meanings, while emphasising the value-laden nature of inquiry. The rich descriptions of individuals and how they experience the everyday social world is what qualitative researchers are after (Dezin & Lincoln, 2003:13-14).

Qualitative research, also called naturalistic inquiry, is a form of social inquiry, which aims to understand the social reality of individuals, groups and cultures and their human experience, behaviour and perspectives. Qualitative researchers study phenomena in its natural setting and endeavour to interpret it in terms of the meaning people bring to it (Holloway, 1997:2; Malterud, 2001:398; Denzin & Lincoln, 2014:3). The social phenomenon that is explored in depth in this case is empowerment explored in the context and from the perspective of the local NPOs and interpreted according to the meaning they ascribe to it.

This study is an exploratory (instead of descriptive or explanatory), naturalistic inquiry into empowerment from the perspective of local NPOs, and some of their stakeholders. The main research questions of the study are "how" and "why" questions and the researcher chose a multiple-case design with an embedded or multiple units of analysis.

## **1.7 RESEARCH METHODS**

This study was conducted in two phases; a literature study, followed by empirical research that included semi-structured interviews and focus groups discussions.

### **1.7.1 Literature study**

A detailed literature study and search was firstly conducted to ascertain what research has already been done in the field, and to ensure that no other comparable study has been done on

the specific topic. The following databases were consulted: EBSCOhost: Academic Search Premier, Business Source Premier, Communication & Mass Media Complete, eBook Collection (EBSCOhost), E-Journals, ERIC, SocINDEX, Ferdinand Postma Catalogue, NEXUS, International Theses and Dissertations, Emerald, Science Direct and Google Scholar.

Various studies on communication for development and social change, participation and empowerment and the role of NPOs exist (for instance Bosch, 2009; De Wit & Berner, 2009; Fourie & Kloppers, 2009; Jonker, 2001; Kabeer *et al.*, 2012; Kilby, 2006; MirafTAB, 1997; Mohan & Stokke, 2000; Narayan, 2005; Naidoo, 2010; Otto, 2004; Papa *et al.*, 2000, 1997; Rowlands, 1995; Vermeulen, 2012; Visser 2012; White, 2004). However, the researcher came across very few studies that examine the empowerment of NPOs as organisations themselves, in order for them to perform in a development and social change setting (Cater, 2005; Takahashi, 2009), creating an opportunity for more research to fill this gap.

The literature study in Chapter 2 reviews communication for development and social change against a succinct history of development and answers the first two specific research questions:

- 1.3.1.1 What are the relevant assumptions on participatory communication and how it is linked to empowerment according to the recent theories of communication for social change? and
- 1.3.1.2 How is empowerment defined according to recent theories of communication for development and social change?

## **1.7.2 Empirical Research Methods**

As already mentioned, the researcher employed the qualitative research approach for the empirical part of this study, because of its ability to describe and interpret the complexity of communication and personal experiences the NPOs deal with in the community. The researcher chose a tight research design, working deductively with pre-determined research questions, theoretical assumptions, and well-delineated constructs to provide clarity and focus during the information collection and analysis (see Miles *et al.*, 2014:21).

With reference to the four dimensions of the research process as explained by Bauer *et al.* (2002:5) the study's research design can be summarised as follows:

- Design principle – naturalistic inquiry, multiple case study design
- Information elicitation - individual interviews, focus group discussions

- Information analysis – according to guiding arguments, concepts and constructs
- Knowledge interest – participatory communication and empowerment

### **1.7.2.1 Information collection methods**

According to Bauer *et al.* (2002:5) the represented social world is made up from information as a result of communication processes. He also distinguishes between formal and informal communication as two modes of social information that are constructed from three media, namely text, image and sound.

In this study, information was gathered from the abovementioned modes, but focused on texts: transcriptions and audio recordings of semi-structured interviews with three Public Sector representatives, three Private Sector representatives, and five NPO representatives, as well as five NPO focus groups (informal communication). Using more than one form of text was a method of triangulation, to increase the reliability of the study.

### **1.7.2.2 Sampling of case studies**

Since the size and scope of local NPOs varies greatly, the researcher wanted to cover a variety of (five) different NPOs as case studies in order to answer the research question and investigate if the same participatory communication principles were applicable to all. In keeping with the Department of Social Development's social clusters, namely youth; women, children and families; older persons; persons with disabilities; and organisations and communities, the following case studies were chosen:

- The Thakaneng Project: street children, youth;
- Mosaic SA: women, children and families;
- Ikageng Day Care Centre for the Aged: the elderly;
- Tshwaraganang Centre of People with Disabilities: persons with disabilities; and
- NG Welsyn: children, families and the elderly.

### **1.7.2.3 Semi-structured Interviews**

Interviews, in their most basic sense are conversations with the purpose to gather information. Semi-structured interviews will give the interviewer the opportunity to use a pre-determined list of questions and/or topics, but also the freedom to digress and explore wider or more in-depth than the list (Berg, 2001:66, 70). Gray (2004:214) asserts that interviews are the best approach when the objective of the research is largely exploratory, and especially useful to examine feelings or attitudes. It is also preferable over questionnaires, as questions are open-ended or complex and in cases where it is likely that people will enjoy talking about their work, rather than filling in a close-ended questionnaire.

A range of open-ended questions was asked to several respondents: Government officials from the local district Department of Social Development and Tlokwe City Council, Private Sector representatives (investors/donors) and members (management and employees/volunteers) of all five of the case study NPOs, in order to gather empirical information. The interview process attempted to answer three research questions:

- 1.3.1.3 According to the NPOs, how are their organisations being empowered?
- 1.3.1.4 How does the Public Sector view the empowerment process of local NPOs?
- 1.3.1.5 How does the Private Sector view the empowerment process of local NPOs?

By comparing the answers from the different case studies and Sectors it will become clear if the different NPOs have diverse or similar issues, as well as how the views from of the officials representing the Public and Private Sector compare to the NPOs themselves.

### **1.7.2.4 Focus groups**

Focus groups were initially used in market research where a group of people's attitudes towards new products were tested, but its popularity has spread to wider aspects of research (Gray, 2004:230). Focus groups facilitate interaction and discussion. A disadvantage of focus groups however, is that the interviewer has less control over a group discussion than an individual interview, resulting in lost time. The information is also more complex to analyse (Marshall & Rossman, eds. 1999:115).

The researcher intended to use NPO focus groups to stimulate dialogue as a means for NPOs to reflect collectively on their circumstances and shared challenges, with the objective to stimulate and observe problem-solving initiatives, which are part of the collaboration of

participatory communication. The researcher engaged in different sets of focus group interviews: 1) employees/volunteers of each case study NPOs as separate focus groups, and 2) employees/volunteers from all five case study NPOs combined in one group, to reflect on shared communication problems and empowerment. The focus group discussions will be instrumental in answering the general research question:

***How can participatory communication be used as an empowering process for local NPOs in becoming agents of social change?***

as well as the third specific research question:

1.3.1.3 According to the NPOs, how are their organisations being empowered?

## **1.8 DEFINITION AND CLARIFICATION OF CONCEPTS RELEVANT TO THE STUDY**

### **1.8.1 Development communication**

*“Development Communication is the study of social change brought about by the application of communication research, theory, and technologies to bring about development. Development is a widely participatory process of social change in a society, intended to bring about both social and material advancement, including greater equality, freedom, and other valued qualities for the majority of people through their gaining greater control over their environment.” —Everett Rogers, 1976 (Servaes, 2008).*

Development communication highlights the role of communication in addressing social problems and has traditionally been conceptualised against a background of development projects, and therefore has originally been known as development communication, development support communication and most recently communication for development and social change (Dutta, 2011:38; Mefalopulos, 2008:5; Kincaid & Figueroa, 2009:506).

Historically development was seen as foreign aid strategies through which the Western or “First World” provided aid and engaged in welfare projects, firstly in rehabilitation of war-ravaged Europe post World War II, and following its relative success, to similarly aid and develop the so-called Third World countries. The focus of the assistance provided was on the improving of national infrastructure and conveying modern technology to these countries (Kincaid & Figueroa, 2009:506).

The dominant development paradigm of the 20th century focused on modernisation and increasing wealth leading to economic growth. The top-down, one-directional communication models of this paradigm focused on individual behaviour change, and development was action taken *for* communities, instead of *by* communities (Gumucio-Dagron, & Tufte, 2006:xvi).

The dependency and participation paradigms developed as a critique on modernisation, with the participatory approach becoming the normative approach to development communication (Huesca & Dervin, 1997:46; Servaes, 1995:39-49; Huesca, 2003:500, Jacobson, 2003:90-91; Mefalopulos, 2008:44-52; Servaes & Lie, 2013:8-11). A historic overview of development communication including these three paradigms is given in Chapter 2 under point 2.2.

### **1.8.2 Communication for social change**

*“Communication for Social Change [CFSC] is a process of Public and Private dialogue through which people themselves define who they are, what they need and how to get what they need in order to improve their own lives. It utilizes dialogue that leads to collective problem identification, decision making and community-based implementation of solutions to development issues” (Servaes, 2008:5).*

As already mentioned under 1.8.1, the dominant development paradigm of the 20th century focused on modernisation and wealth accumulation as keys to economic growth. However, in the 1980s the participatory approach to development communication originated as critique on the modernisation paradigm and has become the normative approach to development communication (Huesca & Dervin, 1997:46; Servaes, 1995:39-49; Huesca, 2003:500, Jacobson, 2003:90-91; Mefalopulos, 2008:44-52; Servaes & Lie, 2013:8-11).

The communication models of the participatory approach are two-way, horizontal and embrace dialogue, participation and cultural identity, which can result in empowerment leading to self-reliance. Gumucio-Dagron and Tufte (2006:xvi) indicate that these models promote social change instead of individual behaviour change and, suggest dialogue and collective action emerging *from* communities, and not just *for* communities. The right to communicate and ownership of the communication process is central to the approach.

Wilkens (2009) states that after years of critique against the narrow implementation of “development communication”, communication scholars started reframing their work as “communication for social change”. This shift towards communication for social change coincided with the participatory approach emerging as reacting to modernization and becoming the dominant paradigm.

In the context of the participatory approach, Moemeka (1993:12) calls development communication “communication with a social conscience” which has two roles to fulfil – firstly, social transformation in terms of quality of life and social justice, and secondly maintaining of established societal values. Wilkens (2009) however indicates that “the shift in rhetoric may be

more a part of academic and NGO communication discussion though than represent an actual shift in practice” and that the term “development” is still prominent.

For the purpose of the study, the history of development communication will be discussed in Chapter 2 section 2.2 from 2.2.1 to 2.2.5, and considering the above-mentioned shift, the study will later refer to “communication for development and social change”, as well as “communication for social change”.

### **1.8.3 Non-Profit Organisations (NPOs)**

Van Dyk (2014) cites Camay and Gordon (1997:1) in defining NPOs as organisations that are independent from Government and privately operated. The South African Department of Social Development defines a Non-Profit Organisation (NPO) as an organisation created for Public purpose and of which no property or income is distributable to the members or office bearers other than as reasonable compensation for their services (Van Dyk, 2014). The DSD uses the term NPO to collectively refer to all non-profit organisations - including non-Governmental organisations (NGOs), community-based organisations (CBOs), faith-based organisations (FBOs), Public benefit organisations (PBOs) and civil society organisations.

The South African Government has, in an effort to create an enabling legal environment to support and encourage the formation of these organisations, enacted The Non-profit Organisations Act 71 of 1997.

In an Assessment of the NPO Act - January 2005, the report states that two studies on the size and scope of NPOs concluded that there is a clear divide between the better-resourced and organised NGOs, and poor community-based organisations (CBOs), which are largely deprived of resources and are less formally structured. The act is likely to benefit the former more, than the latter (Department of Social Development, 2005:30). The first NPOs in Africa were described as ethnic welfare associations who represented the needs of Africans to colonial Governments and later contested the rule of these Governments. After independence from colonial rule, the involvement of NPOs in development and the delivery of basic services grew even more rapidly than in Asia or Latin America (Davis *et al.*, 2009:69). The political transition of South Africa divides the history of the civil or non-profit Sector into two distinct phases: an apartheid and post-apartheid phase. In South Africa, the initial NPOs were either pro-apartheid or pro-business, however this Sector later included much more activism and protest than charity, with anti-apartheid organisations increasingly mobilising against the state. Legislation benefitted the formation of social welfare and health NPOs, catering for mainly the white

community. Whilst anti-apartheid activist groups did mobilise against the state, they were heavily suppressed by legislation, harassed by the state, and had limited access to resources (Friedman & Reitzes, 1996:56; Habib, 2005:674, Davis *et al.*, 2009:73).

During the 1980s the political system underwent a liberalisation which enabled anti-apartheid elements to become dominant in civil society, even though it still experienced severe repression. During this era, increased resources in the form of human resources (activists including students, graduates and political prisoners) as well as funding from private foreign and domestic sources aided “the struggle” and provided opportunity for more mobilisation and growth of an adversarial Sector to the Apartheid State (Friedman & Reitzes, 1996:56; Habib, 2005:675-676).

Post-Apartheid, after the political restructuring following the first democratic election in 1994, the state endeavoured to create an enabling environment for the civil Sector by revoking repressive legislation and passing the Non-Profit Organisations Act, (Act No. 71 of 1997). By restructuring the political environment, the state was now willing to partner with NPOs in the policy development and service delivery arenas. But although legislation seemed to be more enabling, many NPOs became redundant after 1994 and had to close down. Activist NPOs had to shift their focus from protest and resistance to reconstruction and development. Instead of an adversarial relationship, the ideal is now for the Public and civil Sector to strive for partnership (Davis *et al.*, 2009:73).

Habib (2005:685-686) focuses attention on the plurality of civil society and divides the contemporary South African civil society into three parts – formal Non-Government Organisations (NGOs or as in referred to in this study, Non-Profit Organisations or NPOs), informal survivalist agencies, and social movements. The formal NPOs are powerful and mostly service related and enjoy engaged partnerships with or are subcontracted to the state, while the social movements have a relationship with the state ranging from adversarialism to engagement or both. These organisations lobby the state on a variety of social issues. The third group called survivalist agencies, function predominately in marginalised communities, are informal and have no relationship with the state. They do not receive resources from the state and their focus is to help the communities survive the effects of the state’s policies, which Habib (2005:685-686) calls the “ravages of neoliberalism”. Some organisations fall in one or more than one of these distinctive groups. The case studies in this study are such examples, but fall predominantly in the survivalist group as they operate on a local community level.

NPOs play a significant role in the development of South Africa because of their willingness to provide services where the state is lacking, and because of their features which make them more appropriate than Public and Private Sector institutions for the promotion of micro-level

development. Since their size are smaller and they have physical presence in the community, they can relate better to the intended beneficiaries and have comparatively more freedom to organise themselves than other Sectors. Yet, NPOs also experience limitations that hamper their potential for micro-level development, which can be addressed in part through empowerment (Davids *et al.*, 2009:70).

#### **1.8.4 Private Sector**

*“The part of national economy made up of Private enterprises. It includes the personal Sector (households) and corporate Sector (companies), and is responsible for allocating most of the resources within an economy” (Business Dictionary, 2017).*

The Private Sector includes all for-profit businesses that are not owned or operated by the Government (Investopedia, 2017). In terms of corporate social investment (CSI) Van Dyk (2014) refers to Private Sector organisations who provide financial assistance to NPOs as part of their CSI activities as “corporate donors”. She cites Skinner *et al.* (2011:236) and Collodel (2011:2) in defining donors as organisations, who provide aid in terms of financial or material assistance in order to stimulate growth, promote development activities and reduce poverty, without the expectation of receiving a direct return such as Publicity.

The Private Sector representatives chosen for this study were three business owners in Potchefstroom. The first two participants (Participant A and Participant B) are both members of the Potch-Tlokwe Chamber of Commerce, and had participated in the Potchefstroom Community Forum, which assists NPOs and community development.

The third participant and businessman (Participant C), is part of a family-run commercial farming business which heavily invests in the development of its own staff and their families. Participant C also had been personally involved in community engagement through the Potchefstroom Round Table. The Round Table 47 is the Potchefstroom chapter of the South African Round Table, which is affiliated with the international body, which has chapters/tables around the world. Membership includes men aged between 18 and 40, who enjoy fellowship through the medium of their professional and business occupations, and participate in annual charity and community projects that are mainly related to Potchefstroom (Participant C, 2015).

#### **1.8.5 Public Sector**

Davis *et al.*(2009:53-54) states that the Public Sector includes all national State departments and provincial administrations, Public enterprises, municipalities, institutions of higher learning,

research agencies and a number of control and regulatory institutions which fall within the different branches (i.e. legislature, judiciary and executive) and spheres (i.e. national, provincial and local) of Government. The Public Sector formulates social and economic policies, designs and implements Public programmes, raises revenue, and manages accountability (Davis *et al.*, 2009:54-55).

*In terms of this study however, the Public Sector acts as a stakeholder and donor to the NPO Sector as it provides aid in terms of financial or material assistance (refer to the definition of donor under 1.8.4). The South African Government enacted The Non-profit Organisations Act 71 of 1997 in an effort to create an enabling legal environment to support and encourage the formation of NPOs.*

The Public Sector participants chosen for this study are a Community Development Practitioner of the Department of Social Development (DSD), Ms Koketso Molosankwe; the manager in the Tlokwe City Council Local Municipality's office for Transversal Issues in the Mayor's office (the Municipality), Ms Mabel Mokobe; and the Director of the North-West University's (NWU) Department for Community Engagement, Ms Beatrix Bouwman.

#### **1.8.6 The Potch-Tlokwe Chamber of Commerce (the Chamber)**

The Potch-Tlokwe Chamber of Commerce (the Chamber) is a representative body of Private Sector businesses in Potchefstroom, which strives to make a difference in the business environment and has over 320 members. According to the chairman the Chamber engages with different stakeholders and he states that the organisation is a direct result of a request from the local Government to engage with business people in Potchefstroom. He reasons that improving the business environment can result in the improvement of issues like job creation, safety, hygiene and municipal services (Van Rensburg, 2015).

In 2013 the Chamber initiated the Potchefstroom Community Forum (PCF) as a way to get businesses and churches involved in grassroots community development. The activities of the PCF have died down since 2014, as it needs a full time committed person to drive it, and the committee members did not at the stage of the interview, have the capacity to sustain it (Participant A, 2015).

### **1.8.7 Department of Social Development (DSD)**

The Department of Social Development (DSD) is the original Government department that have the direct mandate to deal with NPOs since the implementation of the NPO Act in 1993. The DSD (2008) states on its website that one of its core functions is to provide social welfare services through sustainable development programmes in partnership with implementing agents such as State-funded institutions and Non-profit Organisations (NPOs).

### **1.8.8 Tlokwe City Council Local Municipality (The Municipality)**

The Tlokwe City Council Local Municipality, seated in Potchefstroom, is a local municipality in the Dr Kenneth Kaunda District Municipality, North West Province, South Africa. The Municipality was disestablished and merged with Ventersdorp Local Municipality to establish Ventersdorp/Tlokwe Local Municipality on 3 August 2016, after the municipal elections. The former Tlokwe Local Municipality provided local governance for a demographic of 162 762 people in the city of Potchefstroom and included the neighbourhoods and informal settlements of Ikageng and Promosa (South Africa, 2013; Wikipedia, 2016; Local Government Handbook, 2017).

### **1.8.9 Office for Transversal Issues**

The Office for Transversal Issues functions as part of the Office of the Executive Mayor of the Tlokwe City Council Local Municipality, under councillor Nontsize Mboniswa (MMC for Transversal Issues) The Office for Transversal Issues previously focused on matters of Gender and Youth only. On the Tlokwe City Council website it indicates its duties as:

*“The administration must render support to the gender and youth of this community. The function of gender and youth within the municipality is administered as follows: monitor and control budget; to address transversal issues; to enhance gender and youth development; to develop leaders for the future.” (Tlokwe City Council, 2016).*

Since 2014 however, the Office has widened its focus to also include people with disabilities, and from 2015 they had planned to add “older persons, women and children” (Mokobe, 2015). Budget constraints had previously prevented them from engaging more social issues. From the interview, it seems that despite operating since 2006, and being aware of local NPOs and starting a NPO database, the Office for Transversal Issues, has not before 2015 made extensive efforts to engage with NPOs directly.

### 1.8.10 North-West University (NWU)

The North-West University (NWU) officially started on 1 January 2004, after the amalgamation of the previous University of the North West and the previous Potchefstroom University for Christian Higher Education.

*“The NWU is a multi-campus university with a footprint across two provinces. The Mafikeng and Potchefstroom Campuses are situated in the North-West Province and the Vaal Triangle Campus is in Gauteng. The head office, known as the Institutional Office, is in Potchefstroom, situated near the Potchefstroom Campus.”(North-West University, 2017.)*

The NWU has since its inception been involved with community engagement through research, student practice (work integrated learning) and the Student RAG community service that annually raises large amounts of funding and then donate it to various charitable Non-Profit Organisations (Bouwman, 2015). It is only in recent years that the Institutional Office for Community Engagement has started to focus on NPOs specifically and are trying to coordinate the various community outreaches across campuses and faculties (Bouwman, 2015).

## 1.9 STRUCTURE OF THE STUDY

This study comprises of five chapters. This chapter, **Chapter 1**, introduces and gives an overview of the study and the problem statement, guiding argument, the general as well as specific research questions, and their subsequent specific research aims. The chapter also introduces the core concepts of participatory communication as related the study and provides definitions and clarifications of the key concepts.

**Chapter 2** introduces the theoretical basis of the study as the participatory approach to communication for development and social change against a framework of empowerment. It presents a literature review and historic overview of the different paradigms of development communication and communication for social change, focusing on the social context and general approaches to development, communication, and critique against each of these paradigms. The chapter recognises the participatory approach as the normative approach to communication for development and social change and identifies four core concepts, namely dialogue, participation, cultural diversity and empowerment, from which the researcher derives four corresponding guiding arguments for the study. The following two theoretical questions will be answered in this literature chapter:

- 1.3.1.1 What are the relevant assumptions on participatory communication and how it is linked to empowerment according to the recent theories of communication for social change?

- 1.3.1.2 How is empowerment defined according to recent theories of communication for development and social change?

**Chapter 3** discusses and motivates the qualitative research methodology and design of the study, including the research methods used to gather information for analysis. These methods include semi-structured interviews and focus group discussions. The applicability of these methods is discussed, as well as how each one was applied during the empirical part of this study. Chapter 3 also outlines the problems and obstacles that were experienced during the empirical study.

**Chapter 4** describes and interprets the results of the research that emerged from the aforementioned empirical study by comparing the viewpoints of the non-profit, Private, and Public Sector on empowerment. It answers the following three empirical questions:

- 1.3.1.3 According to the NPOs, how are their organisations being empowered?
- 1.3.1.4 How does the Public Sector view the empowerment process of local NPOs?
- 1.3.1.5 How does the Private Sector view the empowerment process of local NPOs?

**Chapter 5** will conclude this dissertation by giving a summary of the key conclusions of this study, as based on the discussion and interpretations that were made in Chapter 4, in order to answer the specific, and finally the general research question of this study.

## **1.10 SUMMARY**

This introductory chapter provided an overview of the context of the South African NPO Sector in relation to the Public and Private Sector, and identified it as a relevant role player in development and social change. This study posits that communication scholars need to be concerned with how NPOs employ participatory communication, as a collective dialogic process of identifying problems and creating knowledge, in order to become empowered, self-reliant and consequently servers of the community as agents of social change.

The chapter introduced the problem statement, research questions and aims, outlined the chosen research design and associated research methods, and also gave an indication of the structure of the study, spanning over five chapters.

The next chapter will present a literature review and historic overview of the different paradigms of development communication and communication for social change, and derive theoretical guiding arguments for the study, which will be used to inform the research methodology and interpret the empirical results. The relevant, available literature on development communication and communication for social change was consulted for this purpose.

# CHAPTER 2: EMPOWERMENT IN THE CONTEXT OF COMMUNICATION FOR DEVELOPMENT AND SOCIAL CHANGE

## 2.1 INTRODUCTION

As mentioned in Chapter 1 (see section 1.2), the theoretical basis for this study is participatory communication against a framework of empowerment, while the researcher's guiding argument is that development and social change cannot take place without participatory communication through dialogue, empowerment, and the consideration of cultural differences. This chapter presents a synopsis of the literature review on development communication (later also referred to as communication for social change), focusing on the core concepts of participatory communication relevant to this study.

The literature review endeavours to answer the first two specific research questions, as posed in Chapter 1:

- 1.3.1.1 What are the relevant assumptions on participatory communication and how it is linked to empowerment according to the recent theories of communication for social change? and
- 1.3.1.2 How is empowerment defined according to recent theories of communication for development and social change?

Development communication highlights the role of communication in addressing social problems and has traditionally been conceptualised against a background of development projects and, therefore, has originally been known as development communication, development support communication and most recently communication for development and social change (Dutta, 2011:38; Mefalopulos, 2008:5). Firstly, an historic overview of development and its accompanying theories of modernisation, dependency, 'another development'/multiplicity and participatory communication will be presented. Secondly, the core concepts of participatory communication identified in this study as dialogue; participation; consideration of cultural diversity; and empowerment leading to self-reliance will be discussed. These theoretical concepts will be used to derive guiding arguments that will be applied specifically to the study. Lastly, empowerment is examined even further as an interdisciplinary concept; as different levels; as different organisational components; and placed in a South African development context.

## **2.2 HISTORIC OVERVIEW OF DEVELOPMENT COMMUNICATION**

Development communication highlights the role of communication solutions in addressing social problems and has traditionally been conceptualised against a background of development projects (Dutta, 2011:38). Communication, and most often and specifically mass media, was employed as a tool in these development projects, and therefore development communication emerged as a field in the late 1960s.

Melkote and Steeves (2001) identify three main perspectives on development communication namely modernisation, critical or alternative perspective, and liberation perspective - also referred to as modernisation, dependency and participation paradigms.

### **2.2.1 Dominant paradigm: modernisation**

The modernisation paradigm, often referred to as the dominant paradigm because of its predominance in Western academic circles in the years of 1945 to 1965, advocated that technology and the socio-political and economic culture of the developed societies be conveyed to the 'traditional' societies (Servaes, 1995:40, Waisbord, 2001).

#### **2.2.1.1 Social context and general approach to development**

Historically development was seen as foreign aid strategies through which the Western or First World provided aid and engaged in welfare projects, firstly in rehabilitation of war-ravaged Europe post World War II, and following its relative success, to similarly aid and develop the so called Third World countries. In 1947 the United States' (US) European Recovery Plan, also known as the Marshall Plan after then Foreign Affairs Minister George Marshall, was the first and largest Government-sponsored foreign assistance project with a contribution of 2.5 percent of the US' Gross National Product, a since unmatched contribution.

In 1949 President Truman, during his inaugural speech, proposed the Point Four Program, so called because it was the fourth point of his address (Encyclopaedia Britannica, 2014). His statement

*“We must embark on a bold new program for making the benefits of our scientific advances and industrial progress available for the improvement and growth of underdeveloped areas”,*

is considered as the beginning of the modern approach to development and the resulting view of the world as divided between richer and poorer countries (Truman, 1949; Mefalopulos, 2008: 43).

The Point Four Program provided US technical assistance and economic aid to underdeveloped countries and was based on the relatively successful Marshall Plan, but focused on the plight of the Third World. Emphasis was placed mainly on technical assistance in the fields of agriculture, public health, and education. Truman's speech stated that the US would support the United Nations (UN) by strengthening their authority and increasing their effectiveness; would continue its push to revitalise the world economy; would "strengthen freedom-loving peoples around the world against dangers of aggression"; and would "embark on a new program of modernisation and capital investment" in underdeveloped areas (Truman, 1949; Kipping, 1994:230, Singhal & Sthapitanonda, 1996:11; Melkote & Steeves, 2001:51, Encyclopedia Britannica, 2014).

The focus in the modern paradigm was predominantly on economic growth, industrialisation and political systems, while culture, tradition and religion were seen as obstacles in the way of modernisation. Modernisation was seen as a kind of social evolution on the basis that all societies passing through similar stages would "evolve" to a common point. Modern western ideology, politics, economy, technology and know-how was transferred and basically forced on "backward", "traditional", underdeveloped "Third World" countries and thought to be the model of development to be emulated worldwide (Servaes, 1995; Melkote & Steeves, 2001; Waisbord, 2001:3).

The major academic and historic influences of the dominant paradigm according to Rogers (1976; 2006:110-113) were industrialisation, capital-intensive technology, economic growth and quantification. These will now be discussed briefly:

- **Industrialisation:** Industrialisation was usually accompanied by colonisation and domestic urbanisation, as seen in the era of the Industrial Revolution in the late 1800s and again after World War II in Europe. Economic growth through industrialisation was seen as the key to development in Western Europe and North America, with at its heart, technology and capital substituted for labour. This simple assumption on development seemed fairly correct from experiences of the industrial revolution in Western Europe and North America. It seemed a likely hypothesis in the 1950s that industrialisation could be successfully replicated in different sociocultural settings of developing nations in Africa, Latin America and Asia where labour in general was not in short supply, and it was tested on a large scale in these countries (Rogers, 1976; 2006:110-111).

- **Capital-intensive technology:** More developed nations were technologically advanced compared with less developed nations and it then made sense to introduce more technology to less developed nations to encourage their development (Rogers, 1976; 2006:110-111).
- **Economic growth:** Rationality and progress was only seen in terms of economic growth, gross national product, and standard of living measured in per capita income. This was the main focus and goal of development according to the dominant paradigm, and meant that the problem of underdevelopment would be defined essentially in economic terms, mainly keeping economists in charge of development programs. It was also widely accepted that macro-economic planning for development was necessary and had to be done by national Governments, guided by the information and assistance of higher-level international agencies. Autonomous self-development by the less developed countries was considered slow, highly unlikely or even impossible (Rogers, 1976; 2006:112; Melkote & Steeves, 2001:192).
- **Quantification:** Western quantitative empirical research was the scientific method of choice during the dominant paradigm (Melkote & Steeves, 2001:72). The drive for the quantification of development, an extension of North-American social-science empiricism, helped define what qualified as development and what not. Being able to measure or count the value or units of development was reduced to economic growth, and therefore measured by gross national product and per capita income. Values, culture and “quality of life” could not be measured in the same way as material well-being, and was therefore not easily calculated (Rogers, 1976; 2006:112-113).

Melkote and Steeves (2001:71-102) distinguished between macro and micro level theories regarding modernisation. The approaches described above by Rogers (1976) fall under the macro level, and indicated that the dominant development paradigm of the 20th century focused on modernisation and wealth accumulation as keys to economic growth. On a social level however, the dominant paradigm tried to implement the concept of Charles Darwin’s evolutionary theory of biological organisms, to the social change of cultures and human societies. This ensued in interpreting the historical transformation of the West according to a unilinear path with universal major growth stages, similar to the way biological organisms evolved: the assumption being that change in one social sphere was able to stimulate change in others, while social modernisation was also able to generate continuing change, absorb the stress of change and then adapt itself to changing demands, creating an apparently irreversible process. It was considered that once the necessary conditions were met, a country would ‘evolve’ to become modern, develop and prosper (Melkote & Steeves, 2001:79-80).

At the micro level, modernisation theories looked at the individual and focused on value and attitude change on an individual level as essential to creating modern societies. Once again, the West was exemplified and it was reasoned that individuals in the Third World had to change their attitudes and characteristics to more closely resemble people living in Western Europe and North America in order for modernisation and development to take place (Melkote & Steeves, 2001:101).

### 2.2.1.2 Communication in the modernisation paradigm

Within this paradigm, the conception of development is linear, based on trust in science, reason, technology, and the free market. At the macro and micro levels communication is seen as a result of and vehicle for economic growth and development, with its main role being to persuade people to embrace the core values and practices of modernisation (Melkote & Steeves, 2001:103; Mefalopoulos, 2008: 44-45).

The main communication viewpoint that was adopted during this era was the diffusion model, which considered mass media powerful in influencing attitude and behaviour (Rogers, 1969:48). The diffusion model identified communication as a one-way, top-down transfer of information from sender to the receiver. The earlier antecedent of the diffusion model was the communication effects approach in which Harold Lasswell (1948) first conceptualised the communication process as a linear formula:

WHO → says WHAT → in which CHANNEL → to WHOM and → to what EFFECT?

**Figure 2.1: Lasswell's communication effects approach**

Based on Lasswell's concept, several other theorists took the same framework and the stimulus-response theory, also known as the bullet or hypodermic needle theory, was born. The terms bullet and hypodermic needle were colourful, descriptive terms to indicate the one-way, top-down, linear movement of the message and the powerful effect of mass media. Lasswell's formula evolved to Berlo's similar formula for the process of communication, and now read:



**Figure 2.2: Berlo's SMCR process of communication**

These models of mass media assumed an omnipotent source from which communication flowed one-directionally to a passive receiver, with the impact on individuals considered as direct, powerful and uniform. Every stimulus was thought to have a definite response, making it useful to manipulate opinions, attitudes and behaviour (Lasswell, 1948; Berlo, 1960; Schramm, 1971; Melkote & Steeves, 2001:105-106).

The idea of the bullet or hypodermic needle effects of communication gave way to the two-step flow hypothesis after research conducted on political decision-making during the 1940s United States presidential election campaign. The study questioned the powerful effect of mass media in influencing individuals' political decisions as to whom to vote for, and discovered that influential people (also called opinion leaders) in people's primary peer groups had more effect on their decisions than the combined mass media. Katz and Lazarsfeld (1955) suggested through the two-step flow hypothesis that the mass media first influenced the opinion leaders, and secondly these opinion leaders would then influence the rest of the community (Melkote & Steeves, 2001:109).

While the communication effects approach described the direction and flow of communication, and was interested in the effects of communication in creating knowledge and persuasion of the receiver, the mass media and modernisation approach focused on the role of mass media in speeding up the modernisation process (Melkote & Steeves, 2001:114).

According to Singhal and Sthapitanonda (1996:13) Daniel Lerner's (1958) influential book, "The Passing of the Traditional Society", helped to form a communication perspective in development. It illustrates the early mass media and modernisation approach. Lerner concluded that mass media was powerful and suggested that it reinforced development with its "magic multiplying power" and, through introducing new ideas and modern attitudes, it multiplied and sped up social and individual change. His social development model, however, also relied on a core of "mobile" individuals - people who had a high capacity for empathy, or the ability to imagine themselves in different environments and situations. This quality enabled them to move easily from a traditional to a more modern way of thinking and life. Lerner pointed out that mass media exposure, urbanisation, literacy, higher per capita income and political participation were

the main variables which determined development (Singhal & Sthapitanonda, 1996:13; Melkote & Steeves, 2001: 114 -115).

Schramm (1964:114-115; 2006:26) describes mass media as agents of social change in the service of national development: accomplishing the transition to new customs and practices and, in some cases, to different social relationships, requiring substantial changes to attitudes, beliefs, modernising skills and social norms. He identifies the three basic functions of communication as the watchmen, decision-maker and teacher functions, and correlates these with three communication tasks behind social change for national development: first “information” about development should be given, second participation in the “decision process”, and third the needed “skills must be taught”. According to Schramm (1964:125-126; 2006:28), the mass media is powerful and capable of handling the first and third task directly and is also capable of helping with the second task of decision-making.

Even though studies disproved the idea in the 1940s in North America, communication through mass media employed in developing countries was still thought of as powerful with uniform, direct effects and was expected to establish a climate of modernisation in preparing individuals in developing countries for swift social change (Melkote & Steeves, 2001:144 -145).

Both the communication effect approach, and the mass media and modernisation approach theorised on a macro level about the role of the mass media in supporting modernisation, and from it evolved the adoption and diffusion processes of cultural innovations theory, which on a micro-level saw modernisation as a process of diffusion whereby individuals move from a traditional way of life to a more complex, more technically developed and more rapidly changing way of life (Rogers, 1969:48; Servaes & Malikhao, 2008:167).

Numerous communication research studies in developing nations dealt with the diffusion of innovations and examined how an idea identified as new by the receiver (normally a technological idea) is tracked as it spreads through a social system. Rogers’ diffusion of innovations theory was central in this area of research. He identified the main elements in any analysis of diffusion of an idea or innovation as a) the innovation, b) its communication through a certain channel, c) among members of a social system, and d) over time (Melkote & Steeves, 2001:122; Morris, 2003:226; Rogers, 1976; 2006:120).

Five progressive stages in the adoption process of an idea by the individual decision-maker were identified as awareness, interest, evaluation, trial and adoption. Rogers (1969) indicated that in early diffusion studies mass media as an information source during the awareness stage, was seen as influential while, at the adoption stage, interpersonal sources carried more influence and were the deciding factor. A further classification in the process was dividing the

adopters into categories according to their resistance to an idea as well as the time they took to adopt an innovation or idea, namely innovators, early adopters, early majority, late majority and laggards (Melkote & Steeves, 2001:125).

According to the diffusion model, the goal of a communication campaign is behaviour change of the individual by providing them with new ideas and information through utilising mass media. The standard formulation of this model is Knowledge/Attitudes/Practice, or KAP: Information provides knowledge, which leads to a change in attitudes, which in turn leads to practice - the desired behaviour change (Morris, 2003:226).

At micro level the diffusion of innovations literature thus highlights the importance of communication in the modernisation process, as well as the nature and role of communication in promoting the adoption and spread of modern ideas through mass media and interpersonal communication, and so emphasises the link between media messages and interpersonal communication (Melkote & Steeves, 2001:125).

### **2.2.1.3 Critique against the modernisation paradigm**

The strong economic focus of development was clearly reflected in the priority placed on economic growth in the first, second, and third UN development decades (1960s, 1970s, and 1980s). However, this narrow perspective was also its biggest point of critique (Kincaid & Figueroa, 2009:508).

Many approaches to critiquing the dominant paradigm exist but Tipps (1973) displays a clear way of organising the critique in three levels namely, deologically, empirically and meta-theoretically.

Ideologically, the paradigm was criticised for being acutely ethnocentric in its worldview, assuming the Western way was universal. Modernisation was equal to Westernisation. Beltrán (1975:190) concluded that the classic diffusion model was based on an ideological framework that contradicted the reality of the Third World. Rationality and progress were only seen in terms of economic growth and standard of living was measured in per capita income. There was limited focus on the values, culture and “quality of life” as it could not be measured in the same way as material well-being and thus the paradigm evolved with a dehumanised nature, turning the people to be developed into objects, disregarding their history, culture and beliefs. Early development projects were criticized as a form of domination and manipulation (Rogers, 1976; Huesca, 2002:4; 2006:113-114; Melkote & Steeves, 2001:154-169).

Western development models not only reflected the culture and philosophy of the Western tradition but also resulted in theories that blamed individuals, not systems, for continued underdevelopment (Huesca, 2002:4). When the needed social structures to support the material technology did not emerge in less-developed countries, their “traditional” thinking, beliefs and social values were blamed and became a priority to change (Rogers, 1976; 2006:110-111). The conclusion was made that underdeveloped nations were responsible for their own underdevelopment and subscribed to an individual blame logic - blaming peasants for being traditional, fatalistic (believing their fate is not in their own hands), and unresponsive to technological innovation, and also blamed the nation for its social-structural nature. The dominant paradigm focused on internal factors, largely ignoring external factors, denying that the developed countries could be responsible in any way for underdevelopment (Rogers, 1976; 2006:114-115, Singhal & Sthapitanonda, 1996:14).

Empirically the paradigm is criticised for failing in achieving its goals. Growth and modernisation brought with it greater inequality and underdevelopment and the complexity of the processes of change were ignored (Servaes, 1995:41; Singhal & Sthapitanonda, 1996:15). Progress in wiping out unemployment, inequality and poverty was severely lacking. Unemployment levels during the 1960s actually rose, while income inequality increased all over the Third World. Economists were also criticised for extending the Western economic and industrial model to the micro level of families, for instance: subsistence farm families were compared to Western entrepreneurs and assumed to have the same goal of maximizing profits and, when they didn't measure up, were criticised for being primitive and uneconomic (Melkote & Steeves, 2001:159).

Western industrialisation failed to be an accurate predictor of the process of development in non-Western states as European nations, for instance, were often notably aided in their socio-economic transformation via their exploitation of colonies. In addition, the capital needed to acquire high-capital technology ensured that even after colonisation by, and withdrawal of, the more developed nations from these underdeveloped countries, the newly independent countries were financially still heavily dependent on the industrially advanced countries (Rogers, 1976; 2006:110-111).

Economic growth during the modern paradigm was mistakenly considered as infinite so the depletion of natural resources driving economic growth, like coal or oil, was not taken into consideration until much later in the 1970s when no-growth policies started emerging, and later still in the 1980s when the term sustainable development featured for the first time (Rogers, 1976; 2006:112). Brundtland (1987) defined ‘sustainable development’ as ‘development which meets the needs of the present without compromising the ability of future generations to meet their own needs’ (Melkote & Steeves, 2001:192). Finally, the equality of distribution of the

development benefits to different groups of people did not feature in quantification (or measurement of the development process and benefits) until the 1970s, as the focus was solely on economic growth: gross produce and per capita income (Rogers, 1976; 2006:112-113).

Meta-theoretically the Western development theory of modernisation was criticised for being abstract and vague, and overemphasis was placed on internal factors of underdevelopment, while ignoring external factors. Mainstream development practices came under fire for being culturally insensitive, theoretically flawed, and methodologically inadequate (Servaes, 1995:41; Singhal & Sthapitanonda, 1996:14-15).

The role of communication in the modernisation paradigm was also critically evaluated, and communication researchers became especially critical of the 1) inattention to media content (trivial and irrelevant content); 2) the need for structural change as well as communication; 3) the shortcomings of diffusion of innovations viewpoint; as well as 4) the increased knowledge gap between advantaged and disadvantaged Sectors of a population (Melkote 2006:115; Rogers, 1976; 2006:118-119).

In both the communication-effects approach and mass media and modernisation approach, it was assumed that any kind of exposure to mass media would lead to development and so the channel through which communication was sent became the focus, more than the content of the message. The quantitative approach of modernisation also resulted in measuring media exposure according to how many times an individual was exposed, instead of focusing on the content of the message and how it influenced their cognition and not just behaviour (Melkote & Steeves, 2001: 223).

Throughout the modernisation paradigm communication through mass media was considered powerful. However, the bullet or hypodermic needle theories lost their relevance as it became increasingly evident that mass media alone could not change people's mind-sets and behaviours (Mefalopulos, 2008:46). In development projects, the effect of mass communication was often limited by social structural restraints and unavailability of resources (for example Government bureaucracy, top-heavy land tenure system, caste, exploitation) and, as Rogers (1976; 2006:119) noted, development is more than just communication and information. Most development institutions applied communication mainly for dissemination of information, persuasion and adoption of innovations.

Tichenor *et al.* (1970) identified a possible effect of mass media communication as creating a knowledge gap between the advantaged and disadvantaged Sectors of the population. The hypothesis stated that the higher education level, communication skills, existing knowledge, relevant social contact and greater voluntary exposure to communication would benefit

advantaged individuals by acquiring more knowledge than the disadvantaged groups. Shingy and Moby (1976) supported the hypothesis by noting that in many developing countries, like India, a tendency existed that development benefits were acquired more easily by the “better-off segments” rather than the “downtrodden” for which it was originally intended (Melkote & Steeves, 2001:221). Rogers (1976; 2006:122) proposed that the hypothesis be changed to the communication-effects gap and should be expanded to not only consider knowledge but also the attitudinal and behavioural effects of communication (interpersonal as well as mass media). Shingy and Moby (1976:97) however noted that the communication-effects gap is not always inevitable, and that the gap could be narrowed if appropriate communication strategies were employed in development campaigns.

Mefalopulos (2008:47) explains that even though communication studies reviewed and downgraded the influence of media, and attributed more influence to interpersonal communication, newly emerging theoretical approaches still stuck with the one-way, and usually top-down, flow of information. The dominant paradigm was criticised for the manipulative potential of this one-way, top-down communication. Latin-American scholars criticised the way in which the communication process was conceptualised in the dominant paradigm as static models (like Berlo’s Source-Message-Channel-Receiver formula), rather than a fluid process centred on meaning which they conceptualised in response. For the first time the abandoning of the vertical flow of information for a horizontal, two-way dialogic approach was suggested (Huesca, 2002:9-10).

## **2.2.2 Opposing paradigm: Dependency theory**

During the 1970s the dominant paradigm underwent a lot of criticism, most notably from the scholars in Latin America who deconstructed and rejected the grounds for, and objectives and methods of, modernisation and its accompanying communication theories. From this criticism, the dependency approach originated (Rogers, 1976; 2006:115; Waisbord, 2001:6; Huesca, 2002:1).

### **2.2.2.1 Social context and general approach to development**

Dependency theory divides the world into the core or centre, composed of a few rich countries, and the margins or periphery, composed of many poor countries. It claims that the imbalances in the world’s state of affairs were mainly owing to the international division of labour and to the continuation of past patterns of domination. This suggests that the core countries have a distinct

advantage in technology, superior infrastructure and economic power, while the peripheral countries are restricted to the role of supplying raw materials and cheap labour to the richer core countries, making it impossible for them to ever catch up to their level of development (Evans, 1979:15; Waisbord, 2001:6; Mefalopulos, 2008:47).

American scholars like Paul Baran (1957) and Latin American scholars like André Gunder Frank (1969), founding fathers of the dependency theory, came to the same conclusion that the underdevelopment of poor countries was directly caused by the development of rich countries, and that Western Capitalism was to blame for the exploitation, inequality and dependence of the periphery. Baran argued that it was in the interest of Western Capitalism to prevent or slow down and control economic development of underdeveloped countries and Frank indicated that “dependent Capitalism” was shaped by specific historical, economic and political factors (Evans, 1979:15; Servaes 1995:41; Waisbord, 2001:6; Kapoor, 2002:648-649; Mefalopulos, 2008:47).

Fernando Henrique Cardoso and Enzo Faletto (1979), also Latin American scholars, advocated a different take on dependency than Frank, taking a “dialectical” approach which focused on social analysis of how social groups and practices reproduce or resist Imperialism in the post-Colonial period. They suggested various degrees of dependency according to the alliances of local and foreign groups, classes and ideologies, which could still result in some growth and development. Ultimately though, they agree with Frank in stating that dependency ties need to be severed in favour of socialism (Kapoor, 2002:648-650).

The dependency theory advocated proposed a self-reliance development strategy where peripheral countries should dissociate themselves from the world market and align themselves with other peripheral countries to form a stronger political presence. The Nonaligned Movement, an alliance formed by 77 developing countries, defined development as political struggle, and made demands for a new international economic order (Servaes, 2008:17; Servaes & Malikhao, 2008:161; Mefalopulos 2008:49).

The dependency theory had a significant impact on the economic and development policies of a number of Third World countries in the 1970s and early 1980s, resulting in the adoption of import-substitution policies by many of those countries, as a form of economic nationalism (Munck, 199:61; Mefalopulos 2008:48). This strategy aimed to protect national industries from outside competition by subsidising them and putting high tariffs on imported products. The idea of stimulating the growth of domestic industrialisation and reducing dependent ties with richer countries did not succeed as expected and often resulted in poor-quality products and insufficient processes. This strategy backfired, as many countries were economically too weak and too indebted to operate autonomously (Mefalopulos 2008:48).

### **2.2.2.2 Communication in the Dependency Paradigm**

Critics of the dominant paradigm influenced by the dependency theory concluded that the use of mass media in development imposed the interests of dominant classes on the majority of marginalized people, reinforcing exploitation and Imperialism, and maintaining inequality (Waisbord, 2001:6; Huesca, 2002:4-5). The Latin American scholars suggested that communication should be interpreted from within a global framework guided by the dependency theory (Huesca, *ibid*). This view was reflected in the heated UNESCO debates of the 1970s and 1980s, in which the developing countries in the Nonaligned Movement participated. Besides demanding a new international economic order, they also put communication and information issues on the international agenda by demanding a New World Information and Communication Order (NWICO) (Singhal & Sthapitanonda, 1996:17; Waisbord, 2001:6; Mefalopulos 2008:49). The Nonaligned Movement was concerned about the uneven flow of media programs and information coming from the richer, more advanced countries, especially the United States, which had a dominant position in the production and distribution system worldwide. They believed this imbalance to be a form of cultural Imperialism and wanted some regulations to address this situation (Singhal & Sthapitanonda, 1996:11; Mefalopulos 2008:49-50).

The “dependentistas”, as they were also known, argued for a more balanced flow of communication at the international level but, at the national level, they remained fixed in the media-centric, top-down, view of communication, predominantly from the state perspective and failed to consider the potential of privately owned media and community media. Mefalopulos (2008:50) notes that although there are significant differences between modernisation and dependency theories, their communication model was essentially the same: a one-way communication flow, with the main difference between the two theories being who was controlling and sending the message and for what purpose.

### **2.2.2.3 Critique against the Dependency Paradigm**

The dependency theory’s oversimplified division of the world into core and periphery levels is blamed for its inadequacy to fully explain the causes of underdevelopment and for its limited effectiveness in proposing successful alternative models of development. The work produced by proponents of the dependency perspective is only critical of, or a challenge to, the modernisation perspective (Singhal & Sthapitanonda, 1996:17). While the modernisation paradigm focused on internal factors as causes for underdevelopment and ignored external ones, the dependency paradigm made the opposite, yet similar, error of ascribing the causes of underdevelopment exclusively to international capitalism, and failed to consider relevant internal

causes contributing to the problem (Munck, 1999:61-62; Kapoor 2002:654-655; Mefalopulos 2008:48).

The dependency theory addressed the causes of underdevelopment, but did not provide ways of addressing it and the main difference between dependency and modernisation paradigms, when it comes to the content of development, is minimal. Both perspectives are ethnocentric, concerned with economic development as their top priority and use the same quantitative methods approach to analysing the issues of development and underdevelopment (Servaes 1995:42; Munck, 1999:61-62; Kapoor 2002:654-655).

### **2.2.3 Emerging paradigm: 'Another development' and Multiplicity**

As the distinction between the so-called First, Second and Third Worlds were breaking down and the crossover centre-periphery could be found in every region, a need for a new concept of development that also includes cultural identity and multidimensionality arose. The previously held dependency perspective had become difficult to support because of a growing interdependence of nations, i.e. no countries function completely autonomously or are completely self-sufficient, nor are there any nations whose development is exclusively determined by external factors (Kumar, 1994:86; Servaes, 1995: 42).

#### **2.2.3.1 Social context and general approach to development**

During the 1970s the basic needs approach to development emerged and gained support from the World Bank, the International Labor Organization, United Nations Economic and Social Council, the United States Congress as well as many national Governments. The approach attempted to eradicate poverty among the poorest of the poor in developing nations. The approach emphasized the basic, fundamental needs of people such as adequate food and clean drinking water, shelter, education, security of livelihood, and a respect for human rights (Melkote & Steeves, 2001:167-168).

Continuing the focus on basic needs, and incorporating development that strives for self-reliance and sustainability in terms of finite resources and ecology, 'another development' was conceptualised (Hettne, 1983: 260).

The Dag Hammarskjöld Foundation<sup>2</sup> initiated the concept 'another development' in 1975, and although from Sweden, it doesn't mean the concept and perspective of 'another development' were Western as they can also be traced back in "Third World" environments. 'Another development' was introduced to the world in the Dag Hammarskjöld Report, called *What Now: Another Development*, prepared on the occasion of the Seventh Special Session of the United Nations General Assembly in New York from 1 to 12 September 1976 (Dag Hammarskjöld Foundation, 1982).

Servaes (1995:42) states the three foundations for 'another development' as:

*"(1) 'another development' is geared to the satisfaction of needs, beginning with the eradication of poverty; (2) 'another development' is endogenous and self-reliant; and (3) 'another development' is in harmony with the environment. 'Another development' applies to all levels of all societies, not just the poor of the non-aligned world. It grew from a dissatisfaction in the 'consumer society' with what is sometimes termed 'overdevelopment' or even 'maldevelopment', as well as the growing disillusionment with the modernisation approach."*

The six core principles essential to 'another development', also referred to as 'multiplicity', are identified as (Dag Hammarskjöld Foundation, 1982; Servaes, 1995:42-43; Servaes & Malikhao, 2008:164):

- 1) **Basic needs:** The production of goods and services as well as its planning and technology, must be subjected to the meeting of basic human needs of food, habitat, health and education. With these basic interrelated needs it is not the absolute scarcity of resources which explains poverty in the Third World but rather their distribution, traditional mechanisms fostering inequality having been aggravated by an indiscriminate imitation of the patterns of the industrialized societies.
- 2) **Endogeny:** Development goals should stem from the heart of each society and be guided by what is supremely valued and envisioned for its future by the society itself. Where basic needs are satisfied, societies can enjoy their rich cultural life embracing people's creativity, social solidarity and conviviality.
- 3) **Self-reliance:** Each society should rely primarily on its own strength and resources in terms of its members' energies and its natural and cultural environment. Self-reliance stimulates creativity in production processes and reduces the society's dependence and

---

<sup>2</sup>The **Dag Hammarskjöld Foundation** was created in 1962 as Sweden's national memorial to Dag Hammarskjöld, Secretary General of the United Nations from 1953 until his death in 1961. Its mission statement: "Our mission is to catalyse dialogue and action for a socially and economically just, environmentally sustainable, democratic and peaceful world. In the spirit of Dag Hammarskjöld we aim to generate new perspectives and ideas on global development and multilateral cooperation. We build bridges between actors and provide space for those most affected by inequalities and injustice. One key element of our approach is to provide a platform for marginalized groups and ensure that civil society perspectives are at the centre of the debate." (Dag Hammarskjöld Foundation, 2014).

vulnerability. A self-reliant society is able to stand up better to crises; it is self-confident and has the means to sustain its dignity.

- 4) **Ecology:** Societies should identify the potential of and use the resources of their local ecosystems sustainably and responsibly. Ecosystems respected and used with imagination can contribute, in particular at the local level, to the satisfaction of needs. Social relations and relations between social and natural systems are interrelated.
- 5) **Participative democracy:** This is the true form of democracy when Government is for the people and by the people, at all levels of society.
- 6) **Structural changes:** To fulfil the conditions of self-management and participation in decision-making by everyone affected by it in the community, structural changes in social relations, economic activities, spatial distribution and the power structure are required

At the core of the concept is the idea that there is no universal path to development. It is an integral, multi-dimensional and dialectic process, which can differ from one society to another. Each society must attempt to define its own strategy for development, and development itself is looked at holistically, including social, economic, cultural and religious elements (Servaes, 1995:42).

#### **2.2.4 Towards Participation in communication for development and social change**

Echoing 'another development' and the basic needs approach of eradicating poverty, Melkote and Steeves (2001:199) identified the collective goals of the various critiques against the modernisation and dependency paradigms (e.g. ideologically, empirically and meta-theoretically – refer to 2.2.1.3 critique against the modernisation paradigm and 2.2.2.3 critique against the dependency paradigm). They suggested alternative and pluralistic approaches to meaningful development in the so-called Third World, pointing towards participation: a) the equal distribution of information and development benefits to close the gap between the advantaged and disadvantaged, making sure the benefits reach the poorest of the poor; b) ensure development is meaningful and relevant by involving the people at grassroots; c) encourage self-reliance of local communities by integrating development projects to local objectives, skills and resources; and d) tailor development to uniquely suit a particular community by integrating old and new ideas, traditional and modern systems, incorporating indigenous knowledge.

Reflecting on the above history, evolution and critique on development during the dominant paradigm, it seems that there is a move from one to many. One dimensional (focusing almost

exclusively on economic growth), and one voice (monologic, one-way flow of communication, individual, ethnocentric) shifting to a more holistic approach (interdisciplinary, including culture) with many voices (dialogue and participation) and a group/collective (Servaes, 1995:42-43; 2008:164).

## **2.2.5 The participatory approach**

In the 1980s, the participatory approach to development communication therefore originated as critique on the modernisation paradigm and has become the normative approach to development communication (Huesca, 2003:500). The participatory model of communication incorporates the concepts of the emerging framework of multiplicity/another development and emphasises the importance of cultural identity of local communities and democratisation and participation on international, national, local and individual levels (Servaes 2004:45; Servaes & Malikhao; 2005: 95; 2008:169).

### **2.2.5.1 Social context and general approach to development**

The participatory approach views people and the community as central to development: they have a right to individually or collectively communicate and participate in decisions, as development is meant to liberate and emancipate people. Local culture and context should be respected and cultural identity, democracy and participation are crucial to the process. Communication has moved away from top-down, one-way communication, to a horizontal two-way communication and to be effective it needs to be participatory, dialogic and reciprocal (White, 1994:15-34; Thomas, 1994:49; Servaes, 1994:40-45; 73-80; 1996:74-77).

Human rights are an emerging focus in this approach and communication is seen as a human need and a human right, with related rights such as the right of access to information and communication resources (Beltrán, 1979:168; Servaes & Malikhao, 2005:98; Servaes & Verschooten, 2008: 47-58). These rights also tie in with cultural freedom and diversity (Servaes, 1998:122-133).

The above assumptions are more closely explored according to the philosophical premises of participation, especially according to Paulo Freire and the UNESCO debates, in the following paragraphs.

## **2.2.5.2 Philosophical premises for participation**

The concept of participatory communication developed from amongst others, the theoretical work of Paulo Freire, and the UNESCO debates of 1977, and is the emergent and current paradigm of development and communication for social change (Freire, 1970; Nair & White, 1993; Thomas, 1994; Servaes & Arnst, 1999; Servaes, 2008, 1998, 1996, 1995; Melkote & Steeves, 2001; Mefalopulos, 2004, 2008; Thomas, 2014; Wilkens *et al.*, 2014).

### **2.2.5.2.1 Paulo Freire**

The Brazilian adult educator and liberation theorist, Paulo Freire, from his years of accumulative experience of teaching working class adult literacy education in urban and rural areas during the 1960s and 70s, developed the concepts of “banking” knowledge, *conscientisation*, *praxis* and liberation theory (Freire, 1969, 1970, 1973). Although he was an educator and worked on the development of a new kind of pedagogy, his philosophical work and critique against the forms of political, social, economic and cultural oppression he encountered eventually made his work the foundation for the participatory approach in development and communication (Thomas 1994:49-59).

Freire’s experience of traditional pedagogy of extension education is analogous to the modernisation approaches in development, which is similarly described as paternalistic and non-participatory. The “banking” concept of knowledge according to traditional pedagogy viewed students as objects needing to be filled with knowledge in a linear fashion. Knowledge was seen as a finished entity that was received passively, rarely critically reflected upon, and often unrelated to people’s reality. The bankers, or teachers, represent the power elites “rich” in knowledge and information, who make “deposits” in the mind of the “poor” students, who passively receive the “wealth” transferred to them. These deposits represent the ideology, norms and values of the oppressors. The students conforming to the ideology are then rewarded by being able to move up in the political, socio-economic and cultural structure prescribed by the oppressors (Beltrán, 1979:165).

Instead of “banking” education, Freire suggests “problem-posing” education, stating that students ought to be critical co-investigators of reality, in dialogue with their teacher. This creates education as a practice of freedom, as opposed to education as the practice of domination, following Freire’s identification of the fundamental theme of this epoch as domination versus liberation (Freire, 1970:81, 103).

In his work with illiterate adults who initially revealed a fatalistic approach to their problems and a naive understanding of reality, he believed, tested and found that people (even illiterate people) do have the capacity for reflection and conceptualising, critical thinking, making decisions and planning. By utilising horizontal communication through dialogue, he broke down the concept of culture and had the participants in the adult literacy programme engage in debate over culture as a systematic acquisition of human experience, which resulted in critical thinking and the illiterate person realising that literacy is necessary to participate in his/her world and culture. This critical consciousness was stimulating and highly motivating to the illiterate person and prepared him/her to become the agent of their own learning, while the teacher offers him/her the instruments to teach themselves to read and write (Freire, 1969; 2006:39-42).

In “problem-posing” education, people develop their power to perceive critically the way they exist in the world with which and in which they find themselves, and they come to see the world not as a static reality but as a reality in process and in transformation. Dialogue is indispensable to the act of cognition which unveils reality but simultaneously, true dialogue cannot exist unless the dialoguers engage in critical thinking (Freire, 1970:85).

Freire suggests that in their constant unveiling of reality, students and teachers should strive for the emergence of consciousness and critical intervention in reality. He coined the term *conscientisation* to describe this process of learning to perceive social, political, and economic contradictions in order to take action against the oppressive elements of reality. Perception or realisation of one’s situation is not enough however, and according to Freire, one should strive to critically reflect upon the situation and then act in order to transform the world – a process he calls *praxis* (Freire, 1970:35, 109).

*Praxis* naturally flows from *conscientisation* as Freire states that critical understanding leads to critical action - “From every understanding, sooner or later an action corresponds. Once a man perceives a challenge, understands it, and recognises the possibilities or response, he acts” (Freire, 1973:39).

Through *praxis* (self-reflective, theoretically guided practice - taking action after reflecting on one’s problem) practitioners attempt to close the distance between teacher and student, development agent and client, researcher and researched in order to enter into a co-learning relationship guided by action and reflection (Thomas, 1994:51; Huesca 2008:6).

Empowerment for Freire is gaining freedom from oppression. The process of *conscientisation* leading to *praxis* is seen as freeing/emancipating/liberating. Through the process of critical reflection the “oppressed” discover their situation of being controlled by an “oppressor” and realise they can do something to change it:

*“It is only when the oppressed find the oppressor out and become involved in the organized struggle for their liberation that they begin to believe in themselves”*(Freire, 1970:65).

The awareness-raising and commitment to action of these processes are what results in the process of empowerment, when involved communities feel committed to and take ownership of their problems and do something about it (Freire, 1969, 1970; Thomas, 1994:51; White, 1994:7-24; Inglis, 1997; Servaes, 2008:202).

Freire sees dialogue as an existential necessity, as what gives human existence meaning, and a way for people to transform the world by “naming the world”. Dialogue is therefore crucial in the process of *conscientisation* leading to *praxis* resulting in empowerment. Humankind’s creative ability of having a voice and using it in dialogue, in shaping and transforming the world we live in, by united reflection and action, creates freedom (Freire, 1970:89; 2006:45).

Freire’s concern for the shift in power from the “oppressor” to the “oppressed” is that it gives marginalised or oppressed people a voice, the time and space to express their concerns, the chance to identify their problems, and formulate solutions and act on them. For this to take place, he outlined four pillars of horizontal dialogical communication which result in mutual trust: love for the world and people, humility (absence of arrogance), faith in humanity and hope. But he also posits that true dialogue cannot exist unless there is engagement in critical thinking, and without dialogue there is no communication (Freire, 1970; Servaes, 2008:202).

Freire’s notion of dialogic communication is widely accepted as a normative theory of participatory communication with its fundamental principles including dialogical communication, voice, liberating pedagogy and praxis (Tuftte & Mefalopulos, 2009:10-11, Servaes, 1995:46, 1996:79).

Servaes (1995:46, 1996:79) states that the ideas of access, participation and self-management as expressed during the UNESCO debates in 1977 in Belgrade, Yugoslavia are the other accepted discourse on participatory communication.

#### **2.2.5.2.2 The UNESCO debates on participatory communication**

The UNESCO debates focused on access, participation and self-management (Servaes (1995:46, 1996:79).

Access refers to the use of media for Public service, defining it as the right of the Public to choose from a variety of relevant broadcasting programs, as well as to have a means of feedback to give production organisations its reactions and demands.

Participation implies a higher level of Public involvement in communication systems – including the production process, management and planning – but participation may be limited to only representation and consultation of the Public in decision-making by the organisations regarding these processes.

Alternatively, self-management is seen as the most advanced form of participation where the Public exercises power in decision-making within communication enterprises and is also fully involved in the formulation of communication policies and plans (Servaes, 1995:46; 1996:79).

There are, however, a few differences between the concepts from the UNESCO debates and Freire's theory. While the UNESCO discourse includes the idea of a gradual progression from access to self-management, which may be postponed until sometime in the future, Freire's theory does not allow for any compromise: one either respects the culture of the other or falls back into domination and the 'banking' mode of imposed education. The UNESCO discourse talks in neutral terms about 'the Public', while Freire talked about 'the oppressed'. The UNESCO discourse puts the main focus on the institution and media used in communication, while Freire focused on group dialogue and not on amplifying media like radio, print and television. Freire also did not give much attention to the language or form of communication, but rather focused his discussions on the intentions of communication actions (Servaes, 1995:46; 1996:78-80; Servaes & Malikhao; 2005:97).

The UNESCO discourse is mostly neutral, or almost conservative, in its approach to participation, in comparison to Freire's approach which is more radical, critical and emotional as can be seen from his use of words like "oppressed", "domination" and "revolution".

### **2.2.5.3 Communication in the participatory approach to development**

In the context of the participatory approach to development Moemeka (1993:12) describes communication as the exchange of ideas by talking with, not at, people in an interactive ongoing process with no permanent sender or permanent receiver. Depending on who is talking and who is listening, the roles of sending and receiving are constantly changing. To Moemeka this implies freedom, equality, and shared interest and correlates with the core concept of dialogue as discussed under 2.2.5.3.1. He calls development communication "communication with a social conscience" which has two roles to fulfil – firstly, social transformation in terms of quality of life and social justice, and secondly maintaining of established societal values.

The participatory approach to development gives preference to interpersonal communication channels and a horizontal flow of ideas, instead of the vertical supply of information by the mass

media. It tends to highlight small rather than large media, stimulating the use of local media in a community because of its familiarity, accessibility, potential to strengthen cultural traditions, and capability of being managed by the people themselves. It focuses on collective self-reliance - setting their own communication agenda - rather than dependence on outside experts, and on action rather than theory-oriented inquiry (Boeren, 1994:10; Jacobson & Kolluri 1999:268),. This echoes the concepts of the UNESCO debates of access, participation and self-management that also lead to empowerment.

As stated previously, empowerment is a communicative process and human interaction is necessary for it to occur but empowered individuals are also more likely to engage in community participation (Dutta, 2011:252; Narayan, 2005; Papa *et al.*, 2000).

#### **2.2.5.4 Participatory communication: core concepts**

Mefalopoulos (2004:51) states that most proponents of the participatory theoretical perspective do not seem interested in construing a grand theory to provide a universal analysis and interpretation of the world, like the patrons of modernisation and dependency theories. Rather, participatory proponents are more interested in investigating the shortcomings and limitations of current development practices, especially at project and community level, in a pursuit of identifying normative approaches, which could provide operational guidelines in the field of development. The participatory approach to development favours a humanistic, holistic approach, rather than the more mechanistic approach displayed in the previous paradigms.

Moemeka (1994:15) states that true and effective community development and social change require participation of every segment of the nation, which heavily relies on the establishment of social human relationships. Communication for development and social change fosters these relationships if integrated into the total developmental process by providing information and the intellectual environment that will help the people to “know *what* to do, know *how* to do it, be *willing* to do it, and have the *resources* to do it”. According to Moemeka (1994:15), these elements are crucial and development cannot occur without them.

Currently the participatory approach is considered the normative approach to communication for development and social change and, as seen in the philosophical and social context mentioned under 2.2.5.1 and 2.2.5.2, is based on the following identified core concepts: dialogue, participation, consideration for cultural diversity, and empowerment leading to self-reliance (Nair & White, 1993:54; Rahim, 1994:6; Jacobson & Kolluri, 1999:268; Melkote & Steeves, 2001:337-338).

Following is a discussion of the separate core concepts:

#### **2.2.5.4.1 Dialogue**

Nair and White (1993:51) defines participatory communication as:

*"the opening of dialogue, source and receiver interacting continuously, thinking constructively about the situation, identifying developmental needs and problems, deciding what is needed to improve the situation, and acting upon it."*

Dialogue, in a simplistic sense, is a conversation between two or more people in which participants seek to clarify what each one thinks and believes. Dialogue itself constitutes a minimal form of cooperative, collective action. The underlying assumption of dialogue is that convergence is desirable and possible and that all participants, not just one of the parties, are willing to listen and change (Kincaid & Figueroa, 2009:510).

Freire (1970; 2006:45) defines dialogue as "the encounter between men, mediated by the world, in order to name the world" - referring to the creative ability of having a voice and using it in dialogue, in shaping and transforming the world we live in, by united reflection and action. This ability, according to Freire, is what gives meaning to human existence and creates freedom for humankind. True dialogue cannot take place between hostiles and people who are not interested in changing the world. Dialogue should not be used as an instrument of domination or oppression and should not be reduced to an act of "depositing" ideas in another (banking concept), or a mere exchange of ideas to be "consumed" (Freire, 1970; 2006:45).

According to Servaes (1995:46, 1996:79) Freire's notion of dialogic communication is widely accepted as a normative theory of participatory communication. The other prominent dialogic philosophers of the late 20th Century are Martin Buber, Mikhail Bakhtin, David Bohm, and Hans-Georg Gadamer. Stewart *et al.* (2004; 21-38) compared the works of these five philosophers for commonalities and found that they all approached their subject matter holistically, while framing it as tensional:

*"Each developed a broad and context-dependent perspective, and each urged his readers to balance enlightenment tendencies toward analysis, separation, and categorization with attempts to be aware of and understand a totality - for Bohm the "implicate order", for Buber the wholeness of human being, for Bakhtin the whole of speech communicating, for Freire the whole of critical consciousness, and for Gadamer the whole of the relation between the human and his or her world."*

While Buber, Freire and Bohm focused on interpersonal communication, Gadamer and Bakhtin promoted dialogic conceptions of understanding in hermeneutics and literary criticism (Stewart *et al.*, 2004:33).

Both Buber and Freire see speech communication as the identifying feature of humanity. Buber uses dialogue as the label for the quality of contact that exists for humans by speaking and listening. According to Buber, it is the birth right of every human being and, while there are many human inventions and human institutions that place obstacles in the way of this contact, it is still the site of human becoming and relating. Dialogue, where individuals not only speak, but also listen to one another, is thus essential for humans to achieve significance and to transform the world they live in (Stewart *et al.*, 2004:33).

According to Freire's philosophy, faith and trust in humans are required for true dialogue to take place, and dialogue's main purpose is to transform education and empower the oppressed. Freire's purpose of dialogue is not persuasion, but transformation through the understanding of one another as people sharing a common struggle. While Buber tended to use examples of two-person dialogue only, Freire does not limit it to two persons but he argues that two perspectives or tensional positions had to be represented, for example, oppressor/oppressed. Bohm, however, argued that any number of people could be engaged in dialogue and, that this quality of contact created a shared meaning and common consciousness resulting in an energy or power that can be harnessed to promote organisational and individual transformation (Stewart *et al.*, 2004:34-35).

According to Thomas (1994:52), Freire's concept of dialogue stems from Buber's philosophy. Buber's concept of community and dialogue contributes to our understanding of participatory communication - that true participation arises from dialogue. In his book, *I and Thou* (1958), Buber describes two types of relationships: firstly, the *I-Thou* relationship is one of dialogue, mutual respect, openness and give and take, which is key to community. This relationship results in a dialogic encounter applying to one's life with nature, with other people and with the 'eternal Thou' who is addressed in every *Thou*. Secondly, The *I-It* relationship is one of monologue, inequality, objectivity and detachment, and is the root of the alienation of human beings from one another, from nature and from God. According to Buber the act of dialogue is the act of making oneself whole, of freeing oneself from the restraints of individualism and emerging into full personhood in a community (Thomas, 1994:52-53).

Freire (1970; 2006:47) simplistically states that "without dialogue there is no communication". Rahim (1994:131) relates to Freire's philosophy by stating that everybody has an equal right to speak and to be heard in participatory dialogue. The bottom line is recognition and respect for the other speaker as a self-determining subject, not just an object of communication, and being able to trust that their voice will not be suppressed by or merged with other voices.

Rahim (1994:130) affirms the complexity of dialogic communication by further distinguishing between internal and external dialogue. Internal dialogue testifies to a person's self-conscious

social being in the way that by engaging in internal dialogue they silently speak to, argue with, and try to understand the “social other’s” position while critically examining their own world view or ideology (This critical reflection mirror’s Freire’s *conscientisation*). External dialogue confirms its prevalence and inherently social nature through its ability to take place among many participants, even separated in time and space, through and in various communication media.

Dialogue cannot be divorced from its context, including economic, social, political and cultural relations of the communicators, because these elements influence the process of meaning making (Rahim, 1994:135). In development, socio-economic and cultural factors like race, religion, class, caste, profession, gender, language, and subcultural traditions are all linked to each other (Rahim, 1994:118).

Taking the above related philosophies into account, dialogue in a development context can be summarised as follows: Dialogue, based on mutual trust and respect, is a horizontal process of speaking and listening between participants, with participants constantly switching between listening and speaking, in order to share and reflect on needs and problems, and then act on transforming it. It is a meaningful process, which cannot be divorced from context, and it distributes power more evenly between participants, because both get to speak and to listen while communicating as they enter into collaboration. The shared meaning, partnership and resulting ability to transform situations, has the capability to empower people on an individual and collective level.

### **Text box 2.1 Guiding argument on dialogue**

Dialogue is a two-way horizontal process of communication, with participants constantly switching between listening and speaking. This is true for face-to-face interpersonal communication, the original dialogue, but could also be the case for other channels of communication which provide feedback opportunities. The purpose of dialogue is not information transfer or persuasion, but transformation of the world the participants live in by engaging in *conscientisation* and *praxis*, i.e. identifying and critically reflecting on shared needs and problems, and then moving to action to solve it. Ideally, people engaged in dialogue create a shared meaning and common ground resulting in an energy or power (e.g. a willingness to participate in development programmes) that can be harnessed to promote individual and organisational transformation.

The above guiding argument derived from theory can be applied to the specific study in the following way:

### ***Applied guiding argument***

*In order for NPOs to be empowered themselves and create the capacity to make a difference in the development setting, they need to engage in two-way horizontal dialogue with all their stakeholders. Dialogue takes place in a setting of mutual trust and respect between participants, knowing that all participants have an equal right and opportunity to engage in dialogue, and are willing to continually alternate between listening and speaking. Dialogue motivates engagement in conscientisation and praxis – collectively reflecting on the community’s shared needs and problems and then moving on, to take action to provide for said needs or solve the problems.*

#### **2.2.5.4.2 Participation**

Servaes and Malikhao (2005:95) stress that community level interaction, collaboration and participation is important when any decision-making process for development is being made, whether in the form of sharing information, knowledge, trust, commitment or a “right attitude” in projects. According to Servaes (1996:46, 1995:79; Servaes & Malikhao, 2005:95) the most developed form of participation is self-management and, this also implies the right to participation in the planning and production of media content and decision-making regarding the subjects covered in the messages.

Development literature reveals various levels of participation however, and different authors have identified similar, though varying, sets of levels, phases and ways of participation. Some are “true” participation, while others are pseudo-participation created by the powerful to manipulate the powerless into thinking they have participated and have a say in the development process.

One of the first models was *Arnstein’s ladder of citizen participation* (Arnstein, 1969:216-224). She equated true citizen participation to citizen power, and illustrated it by way of a ladder with eight rungs, each corresponding to a different level of participation or non-participation to the extent of citizen power in determining the end product. The eight rungs are grouped into three graduating levels of participation:

- “*non-participation*”: 1) *manipulation* and 2) *therapy*,
- “*degrees of tokenism*”: 3) *informing*, 4) *consultation*, and 5) *placation*, and lastly;
- “*degrees of citizen power*”: 6) *partnership*, 7) *delegated power*, and 8) *citizen control*.

Arnstein (1969:216-224) agrees that the eight-rung ladder is a simplification, but it helps to illustrate the point that there are significant gradations of citizen participation. She argues that knowing this, helps to understand the increasing demand for participation from the “have-nots”, as well as the ranges of confusing responses from power holders.

In a more neutral tone than Arnstein, Mefalopulos (2004:55) summarised four levels of participation in development communication: 1) passive participation, when stakeholders attend meetings to be informed; 2) participation by consultation, when stakeholders are consulted but the decision making rests in the hands of the experts; 3) functional participation, when stakeholders are allowed to have some input, although not necessarily from the beginning of the process and not in equal partnership; and 4) empowered participation, when relevant stakeholders take part throughout the whole cycle of the development initiative and have an equal influence on the decision-making process. This corresponds to the four levels identified by the World Bank (1995): 1) information sharing, 2) consultation, 3) collaboration, and 4) empowerment. Information sharing and consultation are considered low-level forms of participation, while the collaboration and empowerment are considered high-level forms of participation (World Bank, 1995; Mefalopulos, 2004:55, Tufte & Mefalopulos, 2009:6-7).

Yoon (1996:40) states that, in general, four different ways of participation can be observed in most development projects claiming to be participatory in nature and cites Uphoff’s (1985) list of participation:

- *“Participation in implementation: People are actively encouraged and mobilized to take part in the actualization of projects. They are given certain responsibilities and set certain tasks or required to contribute specified resources.”*
- *“Participation in evaluation: Upon completion of a project, people are invited to critique the success or failure of it.”*
- *“Participation in benefit: People take part in enjoying the fruits of a project, this maybe water from a hand-pump, medical care by a "bare-foot doctor", a truck to transport produce to market, or village meetings in the new community hall.”*
- *“Participation in decision-making: People initiate, discuss, conceptualize and plan activities they will all do as a community. Some of this may be related to more common development areas such as building schools or applying for land tenure. Others may be more political, such as removing corrupt officials, supporting parliamentary candidates, or resisting pressures from the elites. Yet others may be cultural or religious in nature--organizing a traditional feast, prayers for an end to the drought, and a big party just to have a good time.”*

Yoon (1996:40) also mentions that participation in decision-making is the only true form of participation as participation in only implementation, evaluation and benefit have been criticised as being pseudo-participation used to manipulate people to accept plans made by other, more powerful people. Yoon’s discussion therefore introduces another conceptual view of participation

in projects, as that of phases. Participation in decision-making throughout all the phases - planning, implementation, evaluation and benefit – is therefore crucial to attain true empowered participation.

As seen from the above, the perspectives on participation vary slightly but all conclude that it is necessary for successful development and that there are varying levels of community participation from hardly participating to completely participating throughout the different phases of development projects. The possibility of manipulation of the community by development implementers is a very real and valid concern, therefore the nature of power in relationships is paramount.

Freire states that social transformation can be gained through *praxis* (reflection and action) but, that the change does not depend on the leaders as *thinkers* and the oppressed as *doers* or activists only, because this will continue in manipulation of the oppressed. The oppressed needs to be involved in praxis and, therefore, participate in reflecting and acting on their own situation (Freire, 1970:126).

Without participation from the communities, development and social change becomes just another form of domination where other people's ideas (the development implementer) are forced on them, similar to “banking education” as described by Freire. The process of participation leading to social change can however not happen without dialogue.

### **Text box 2.2 Guiding argument on participation**

Participation is a multi-dimensional and dialectic process based on shared information and continuous human interaction resulting in the collective reflection, decision-making and action taken to solve a community's problems and fulfil its needs. Different levels of participation exist with information sharing and consultation as low-level forms of participation, and collaboration and empowered participation as high-level forms. In specific projects, participants can be involved in the different stages of the project from planning, implementation, evaluation, sharing in benefits to decision-making. High-level participating in decisions from the formulation of a project, through all the different stages to its completion, is the only form that leads to empowerment and self-management. Without high-level empowered participation development becomes another form of domination of a community and does not last beyond the time when the implementers withdraw and move on.

The above guiding argument derived from theory can be applied to the specific study in the

following way:

### ***Applied guiding argument***

*For NPOs to reach their development goals of being agents of social change in their communities, they have to interact with their stakeholders in a multi-dimensional and dialectic process of participation. Stakeholders can be engaged with at different levels of participation, as well as different stages of a project. However, if they want to become empowered themselves and, in turn empower and change their communities, their goal should be high-level participation and collective decision-making throughout all the stages of a project. This means from the formulation and planning of a project, to the implementation, evaluation and sharing in the benefits resulting from the project.*

### **2.2.5.4.3 Cultural diversity**

Cultural identity should not be ignored in the development process as it can determine the nature and success of a project and, promotes the participation of communities. Cultural identity includes amongst others an individual or community's worldview and values, indigenous knowledge, traditions, customs, beliefs and symbols that all have an influence on communication between the development facilitators and the community (Malan, 2006:679).

UNESCO's World Commission on Culture and Development (De Cuellar 1995:82) lists some of the uses of culture facilitating development at the grassroots level as: strengthening group identity, generating social energy, overcoming feelings of inferiority and alienation, fostering democratic discourse and social mediation, coping with challenges of cultural differences, teaching and raising awareness, promoting creativity and innovation, and entering the economy directly through the production of goods and services (Malan, 2006:678).

Reference to Indigenous Knowledge (IK) in development literature is usually in the context of sustainable development, natural resource management and agriculture and, is then offset against Western scientific approaches and education (Fernando, 2003; Buthelezi & Hughes, 2014; Khupe *et al.*, 2016).

Fernando (2003:56), although acknowledging that IK is an ambiguous term to define, characterises it as follows:

*"IK is unique to a community, culture, or society; is the basis for local-level decision making in agriculture, health, natural resource management, and other activities; is embedded in community practices, institutions, relationships, and rituals; and as such is a powerful tool to create sustainable change, particularly in resource-poor rural communities".*

In the context of this study of local NPOs in the social development Sector, however, IK would refer to the cultural worldview of the local community, the created organisational cultures of NPOs, as well as their specific experience and skills e.g. working with people with disability, the elderly or street children. The IK of the NPOs and community can be seen as a development resource if respected and applied in the right way.

From Freire's pedagogy, a humanistic focus is apparent and as the focus on society, people and development became more holistic after the modernisation paradigm. Culture was starting to be embraced instead of seen as an obstacle to development (refer to the modernisation paradigm discussed under 2.2.1 and Paulo Freire discussed under 2.2.5.2.1). De Melo (1979, 2006:175) states that Freire's pedagogy is one of communication and relationships and that "man integrated into his world makes culture", as the role of man was not only to be in the world but to engage in relationships with the world and to use his creative power to add to the natural world (Freire, 1973:39).

Boeren (1994:68-69) takes the idea even further by stating that communication and culture are so interrelated and interdependent, communication *is* culture. Culture determines the code, structure, meaning and context of the communication that takes place and, produces communication while, *without* communication, culture cannot survive.

With 'another development' moving towards participation, first mention was made of societies who should attempt to define their own strategy for development and, to approaching it holistically to include social, economic, cultural and religious elements (Servaes, 1995:42). The participatory approach incorporates the concepts of 'another development'/multiplicity (see 2.2.3) which emphasises the importance of cultural identity and values of local communities. This view can be illustrated in the reports of various international organisations during the 1980s and 1990s.

The International Commission for the Study of Communication Problems emphasises community participation in any level of decision-making in development programmes and, calls for a new attitude for overcoming stereotyped thinking to promote more understanding of diversity and plurality, while respecting the dignity and equality of different cultures (MacBride, 1980: 254). The Report of the World Commission on Culture and Development, chaired by Javier Perez de Cuellar (1995), comes to a related conclusion that development cannot be removed from its cultural context or reduced to an inferior role of only promoting economic growth and, that respect for all cultures whose values are tolerant of others should be fostered (De Cuellar 1995:15, 25; Servaes, 1998:123).

Human rights is an emerging focus in the participatory approach and, communication is seen as a human need and a human right, with related rights such as the right to access of information and communication resources (Beltrán, 1979:168; Servaes & Malikhao, 2005:98; Servaes & Verschooten, 2008: 47-58). These rights also tie in with cultural freedom and diversity (Servaes, 1998:122-133). De Cuellar (1995:15) states that cultural freedom, unlike individual freedom, is collective but, guarantees freedom as a whole by protecting the rights of the group as well as the individual in the group, defining the right to follow a way of life of their own choosing. However, conflict does arise from tension between individualism versus collectivism, tradition versus modernity, and universalism versus cultural relativism, and often individuals in groups suffer human rights violations at the hands of the group. For example, discrimination based on gender or sexual orientation and other abuses of power (Bawa, 2012:90-105; Servaes & Verschooten, 2008:45-58; Zaunbrecher, 2011:679-716). It is also important to realise that cultures are increasingly overlapping and becoming hybrid. Human rights, culture and development are interdependent and continuously evolving concepts and people are the architects of these concepts through their participation and interaction (Servaes & Verschooten, 2008:45).

Development cannot be divorced from its cultural context. Where Modernisation saw culture, tradition and religion as obstacles, the participatory approach embraces culture and advocates respect and tolerance for cultural identity, cultural differences and cultural freedom. Since cultural identity influences the nature of communication and participation, it needs to be considered and respected. Understanding culture and indigenous knowledge can facilitate development and communication for social change, and therefore become a useful resource. In situations where people of different cultures need to work together (such as NPOs for example) creating a shared value system and context, can create and strengthen a group identity that could increase trust and participation.

### **Text box 2.3 Guiding argument on cultural diversity**

Respect for cultural diversity and people's cultural freedom to live a life of their own choosing, is a determining factor in successful development and participation. Communication for development and social change cannot ignore it, reduce it to an inferior role or remove itself from its context, as culture influences the quality of social interaction, behaviour, dialogue and willingness to participate. Culture strengthens a group's identity and includes amongst others an individual or community's worldview and values, indigenous knowledge, traditions, customs, beliefs and symbols. Understanding culture and indigenous knowledge can facilitate

participation, and therefore become a useful development resource. In situations where people of different cultures need to work together creating a shared value system and context, can create and strengthen a group identity that could increase trust and participation.

The above guiding argument derived from theory can be applied to the specific study in the following way:

***Applied guiding argument***

*NPOs need to create and foster their own cultural identity while incorporating and respecting the cultural diversity of their volunteers or employees, as well as of the communities in which they operate. A shared value system and respect for differences could lead to increased trust, participation and empowerment. The Private and Public Sectors need to respect the fact that the society is not homogenous and every NPO is unique and different in terms of the combination and composition of their community's cultural background and values, their staff and volunteers' cultural background, together with their own institutional culture of shared values.*

**2.2.5.4.4 Empowerment leading to self-reliance**

Empowerment can be seen as a result of or a type of participation. The philosophy of Freire discussed earlier under 2.2.5.1, indicate that the process of *conscientisation* and communication through dialogue leads to participation, liberation and the empowerment of people leading to self-reliance (or self-management) (Freire, 1970; Nair & White, 1993; Thomas, 1994; White, 1994:7-8; Servaes, 1995:46; 1996:79; Servaes & Arnst, 1999; Servaes, 2008, 1998, 1996, 1995; Melkote & Steeves, 2001; Mefalopulos, 2004).

Papa *et al.* (2000:91) links up to Freire's argument by viewing empowerment as a communicative process, which needs human interaction in the form of dialogue and collaboration to occur. When participants believe their communication behaviour has a potential impact on others, a resulting sense of personal control occurs.

The development literature referring to empowerment focuses on the process in which individuals, organisations, or the community experience freedom of choice and gain control over circumstances and decisions that influences their lives. This has the effect of increasing their capacity, access to resources and social justice (Rappaport 1987; Zimmerman & Rappaport 1988; White, 1994; Melkote and Steeves 2001; Ander et al., 2001). These empowerment outcomes can include political, economic and psychological empowerment that takes place on an individual and/or collective level (Aber et al., 2011:2). Empowerment is therefore seen as

both a process that occurs over time, and as an outcome and, the process of empowerment is both participatory and developmental.

This then means that empowerment gives people an opportunity to gain self-confidence, control and a sense of self-definition in the development and social change setting. White (1994:8-11) states that *conscientisation* leads to empowerment, but that confidence in demanding one's own rights and, in doing so creating one's own power, as well as culture, personal integrity, values and aspirations are all necessary for sustaining human development and change.

To understand empowerment, the nature of power needs to be addressed (Freire, 1970; Rowlands, 1995:102; Servaes, 1998:122-133; Melkote and Steeves, 2001:37; Mefalopulos, 2004:55-56). True participation directly addresses power relationships, the distribution of power in society, and inequalities that are consequently created. At macro level, cultural, political, and economic powers have a huge influence on development structures, policies, and institutions, while also affecting the way in which people's participation takes place. True participation aims to redistribute power so that marginalised people who were previously outside of the decision-making process, are brought into it and, are given the opportunity to identify their problems and find solutions through action (Freire, 1970; Rowlands, 1995:102; Servaes, 1998:122-133; Melkote and Steeves, 2001:37; Mefalopulos, 2004:55-56).

The World Bank identifies four key elements that can change power relationships between poor people and powerful actors: access to information, inclusion and participation, social accountability, and local organisational capacity (Narayan, 2002). This links up to the earlier discussed UNESCO debates (see 2.2.5.2.2), which focused on access, participation and self-management.

The redistribution of power from the elites to the community can however cause conflict as it directly threatens those whose position and/or very existence depends upon power and its exercise over others. Reactions to such threats are sometimes overt, but are usually manifested as less visible, yet steady and continuous resistance (Freire, 1970; Servaes, 2008:202).

Rowlands (1995:101-102) distinguishes between the different natures of power: "power over", "power to" and "power from within". "Power over" is characterised in terms of obedience and dominance, since people have control over others for example dominant social, political, economic, or cultural groups over those who are marginalised, and is therefore related to oppression. "Power to" and "power from within" are more related to empowerment, as "power to" refers to the leadership power some people have to inspire others to action and raise their morale, while "power from within" is the ability of people to develop their capacity and skills to take control of their own experiences.

Continued empowerment and participation eventually leads to self-reliance. In the context of development, self-reliance is often seen in terms of economic and political stability, suggesting that local economic resources should be improved in order to make communities more self-sufficient and provide more employment opportunities. On an individual or human level, self-reliance infers actualising confident individuals to participate, to identify community needs, diagnose problems and take action accordingly (Schulz *et al.*, 1993; Moemeka, 1994:15; White, 1994:9-11; Zimmerman, 1995; Peterson & Zimmerman, 2004:130; Maton & Brodsky, 2011).

Self-reliance, or self-management in the context of development, means that eventually a community will be able to drive their own development and will not be reliant on external development implementers or resources. Idealistically, empowerment in theory should be the end goal of any participatory development program to result in real social change.

## **2.3 EMPOWERMENT EXAMINED**

As stated previously, the theoretical basis for this study is participatory communication against a framework of empowerment. The above historical overview of development displays how the participatory approach developed from the previous paradigms of modernisation and dependency and, how dialogic participatory communication can lead to empowerment.

Empowerment is however, an interdisciplinary concept spanning various fields of study, and specifically community psychology's view on empowerment relates closely to that communication for development and social change making it relevant to include in this study.

Before a guiding argument on empowerment can be derived, empowerment needs to be examined even further as an interdisciplinary concept, which occurs on different levels, and displays different organisational components in empowered and empowering organisations.

### **2.3.1 Empowerment: an interdisciplinary concept**

A huge variety of different disciplines ranging from community psychology, feminist studies, urban planning, organisational studies, business management studies, health, education, social work to communication for development and social change have examined the concept of empowerment. Various definitions exist and searching the available literature databases for the term "empowerment" revealed a growing popularity and interest across multiple disciplines, making it a mainstream term with various definitions and not one distinct theory. A database search via Onesearch (including the NWU library catalogue and Ebscohost) with the parameters

of different years commencing at 1950, indicates Publications increased from 232 in 1950 to 2 323 in 1980, to 13 613 in 1990, to 154 890 in 2000 and 596 468 results in 2014.

The field of Community Psychology started in the mid 1960's as a reaction to the limitations of traditional, reactive, and intrapsychological approaches to research and social problems. This is related to communication for development and social change in the sense that its core values are similar and focus on the empowerment of the community. It embraces individual wellness, citizen participation, collaboration, and community strengths. Community Psychology is grounded in empirical research, focuses on social systems, and is concerned with social justice for marginalised individuals and groups (Aber *et al.*, 2011:1).

Julian Rappaport laid the groundwork for empowering settings in community psychology during the late 1970s and 1980s and he was the first to describe empowerment as a process by which people, organisations and communities gain mastery over their affairs. He later endorsed the widely adopted definition of the Cornell Empowerment Group of 1989:

*“An intentional, on-going process centred in local community, involving mutual respect, critical reflection, caring and group participation through which people lacking an equal share of valued resources gain greater access to and control over those resources.”*

The similarities to communication for development and social change support the relevancy to include community psychology's particular view on empowerment in this study, as it closely resembles the concept of *conscientisation*, participation and empowerment as an increase of capacity, control and an access to resources as described under 2.2.5.4.4 above.

A feminist study perspective on empowerment to include, is Rowland's (1995; 1997) interpretation of the different natures of power (as previously referenced under section 2.2.5.4.4), and understanding how “power over”, “power to” and “power from within” influences the roleplayers in social change. A feminist perspective of “power over” recognises the dynamics of oppression and internalised oppression where people, e.g. women, who are systematically denied of power and influence in society, internalises the messages they receive about what and how they are supposed to be and believe it as truth. Ensuring access to information, resources, or decision-making, is therefore not enough to empower, but “power to” and “power from within” needs to be activated to make people believe they are capable and have the right to participate in decisions and have influence over their circumstances (Rowlands, 1995;1997).

In the context of organisations focused on social change, like NPOs, the different levels of empowerment as “power to” and “power from within” translates to an individual, organisational and community level.

### 2.3.2 Empowerment at different levels: individual, organisational and community level

Empowerment has been described as a multi-level construct and can take place on an individual or collective level (Schulz *et al.*, 1993). “Collective” refers to groups at either organisational or community level.

Maton and Brodsky (2011) identified the following types of empowerment at group or individual level as:

- **psychological empowerment** when people gain a greater sense of mastery or control over their daily personal lives;
- **social empowerment** when gaining access to valued social roles which group members have historically been denied (e.g. professional roles, leadership positions); and lastly
- **civic empowerment** when severely oppressed groups like women in so called “Third World” countries or the poor in every society, acquire basic human rights.

While Maton and Brodsky’s (2011) types indicate in a general sense the outcome of (or what is gained through) empowerment, the Zimmerman (1990:169-168) types describe empowerment in more detail as culturally and contextually defined interaction between individuals and environments, specifying what needs to be present, or take place, in each of the different levels to engage in the empowerment process.

According to Zimmerman (1990:169-168) empowerment is a continuing process and at all levels of analysis can have different intensities, which can change over time. He also argues that there is not an absolute point that once reached can be labelled as “empowered”.

- **Individual/Psychological empowerment** has intrapersonal, interactional and behavioural components. It includes participatory behaviour, motivations to exert control, and feelings of efficacy and control. The intrapersonal component refers to self-perception and the way people think about their capacity to influence social and political systems important to them. The interactional component refers to the transactions between persons and environments that enable them to master successfully these same systems. Knowledge about the necessary resources, how to mobilise them, understanding causal agents, a critical awareness of one's environment, and the development of decision-making and problem-solving skills necessary to actively engage in one's environment are included in the interactional component. The behavioural component refers to participatory action in organisations or the community (Schulz *et al.*, 1993; Zimmerman, 1995; Peterson & Zimmerman, 2004:130).

- **Organisational empowerment** is defined as the organisational efforts, which generate psychological empowerment among its members, as well as organisational effectiveness to achieve its goals. It includes shared leadership, opportunities to develop skills, expansion, and effective community influence (Schulz *et al.*, 1993; Zimmerman, 1995; Peterson & Zimmerman, 2004:130).
- **Community empowerment** refers to efforts to ward off community threats, improve quality of life, and include and promote citizen participation. Empowered communities consist of empowered individuals and organisations that fairly consider diverse perspectives during times of conflict (Schulz *et al.*, 1993; Zimmerman, 1995; Peterson & Zimmerman, 2004:130).

In this study, the different levels of empowerment are relevant to how NPOs function as organisations, made up of individuals, which work in community settings. The empowerment levels as described above, in particular at the individual level, indicate the practical relationship between empowerment and participation. Participatory behaviour can lead to empowerment, but confident and skilled (empowered) individuals are also more likely to engage in collaborative participatory action in organisations as well as the community setting.

### 2.3.3 Empowered organisations and empowering organisations

Since NPOs are organisations that have interaction with and potential influence over individuals, other organisations, the community and the larger environment, a further distinction can be made by classifying a NPO as an empowered or empowering organisation.

An important conceptual distinction between empowering and empowered organisations exists: empowering organisations produce psychological empowerment for their individual members and facilitate their confidence and competencies; while empowered organisations are those that influence the larger system (environment or community) of which they are a part of (Swift & Levin, 1987; Florin & Wandersman, 1990; Gerschick *et al.*, 1990; Zimmerman, 2000).

Some characteristics that have been identified of effective empowering organisations are: administrative leadership and support to maintain an atmosphere of empowerment, a strength-based culture of growth, multiple and meaningful roles for members to fulfil, shared and inspired leadership, and an all-embracing peer-based support system (Peterson & Zimmerman, 2004:130).

Less researched are the characteristics of empowered organisations but, Peterson & Zimmerman (2004:130) suggest the following three-part conceptual model:

- **Intra-organisational:** The intra-organisational component includes characteristics that represent the internal structure and functioning of organisations, which is critical to provide the infrastructure for members to engage in proactive behaviours needed for achieving goals.
- **Inter-organisational:** This component of organisational empowerment includes the important linkages between organisations, referring to the relationships and collaboration between different organisations.
- **Extra-organisational:** The extra-organisational component refers to actions taken by organisations to affect or control the larger environments of which they are a part of, for example policy change, creating alternative services, or successful advocacy.

The theory above informs and relates to the applied guiding argument on empowerment stated under 2.2.5.4.4, which was used in the research methodology.

#### **2.3.4 Empowerment for participatory development and social change**

There is a dialectic synergy between participation and empowerment. As seen from the core concepts discussed under section 2.2.5.4, participation can lead to empowerment and is an integral element of the empowerment process, but empowered individuals are also more likely to engage in community participation or collaboration. Boeren (1994:10) states that communication's expected role in participatory development and self-reliance is to contribute to the process of empowerment by making people aware of their situation and their own potential and, to pave the way for concerted action. This echoes Freire's concept of conscientisation, which leads to empowerment.

Empowerment gives people an opportunity to gain self-confidence, control and a sense of self-definition in the development and social change setting, which means they are more confident and willing to engage in the communicative process and human interaction of participation (Dutta, 2011:252; Narayan, 2005; Papa et al., 2000). Empowerment is therefore embedded in the various participatory processes that lead to dialogue, critical reflection and the consequent action taken, that motivate individual and social change outcomes (Freire, 1970; Papa et al., 2000, Chitnis 2005).

With reference to sections 2.3.2 and 2.3.3 above, it is unlikely that organisations can be empowered to influence or change the larger environment and community, without first empowering the individual members in the organisation itself, as they would be less likely to

participate or be skilled in decision-making and problem-solving behaviours. This is valid for the intra- and inter- and extra-organisational component of empowered organisations (see 2.3.3).

*“Community organizing through active participation creates an enabling environment for change”* (Chitnis, 2005:21).

Sustainable social change cannot happen without the participation from individuals inside an organisation, or the community, since it becomes just another form of domination (compare it to Freire’s “banking education” under section 2.2.5.2.1) if ideas are imposed on them, and decision are made *for* them and not *with* them. Chitnis (2005), citing Luecke (1993:54), states that change is sustainable if the process is “owned” by the organisation’s staff or community, and more successful if “people work on their own terms, learn from their own failures, and build on what they themselves have built”. People must be empowered to make purposeful choices and be willing to participate as forcing/cooption/cohesion does not create sustainability (Chitnis, 2005).

Reflecting on the literature on participatory communication and empowerment in this Chapter (specifically sections 2.2.5.4 and 2.3), the following guiding argument on empowerment leading to self-reliance was derived:

#### **Text box 2.4 Guiding argument on empowerment leading to self-reliance**

Empowerment is both a process and an outcome. The process of empowerment is both participatory and developmental and can take place on different levels. Empowerment is a communicative process, which consists of culturally, and contextually defined interaction between individuals and their environments. Empowerment results in the increased capacity and self-reliance of individuals or groups to make purposeful choices and, their capacity to transform these choices into desired actions and outcomes.

The above guiding argument derived from theory can be applied to the specific study in the following way:

##### ***Applied guiding argument***

*Empowerment can take place on either an individual, organisational or community level. For NPOs to make a significant difference in the community and South African development context, they need to be empowered organisations employing empowered individuals, who are passionate about empowering the community in which they serve. An empowered NPO can be empowering to its members and community in turn by positively influencing them to participate in decisions and projects. Empowerment increases the capacity of individuals or groups to gain*

*control over their situation and make decisions which will impact on their lives. Participatory behaviour, like dialogic interaction and increased capacity to engage in decisions and actions, leads to empowerment and self-reliance. Self-reliance means the NPO as an organisation or individual working for the NPO, can make their own decisions, manage their own systems (i.e. financial, operational and human resources) and use their own resources in the community to address development or effect social change without having to rely on outside help. The empowerment process of an NPO has an intra-, inter- and extra-organisational component as it focuses on its own organisational structure and purpose, interaction and collaboration with other NPOs, as well as the larger environment in which they function.*

### **2.3.5 Conclusion**

Most literature on empowerment, in a development and social transformation context, refers to how development agents or organisations (in the case of this study this could be Governments, NPOs or Private Sector companies) are empowering the poor/the oppressed/the marginalised/the underdeveloped community. The focus is on specific development plans or programmes, how the communities will benefit from them, how the communities are responding to communication about development, and if/how members of the community become empowered to self-reliance to continue with development themselves (for instance Boeren, 1994; Rowlands, 1995; Mirafteb, 1997; Papa et al., 1997, 2000; Mohan & Stokke, 2000; Jonker, 2001; White, 2004; Habib, 2005; Otto, 2004; Narayan, 2005; Kilby, 2006; Bosch, 2009; De Wit & Berner, 2009; Fourie & Kloppers, 2009; Naidoo, 2010; Kabeeret al., 2012; Vermeulen, 2012; Visser 2012).

NPOs have a huge potential to be change agents inspiring social change and addressing developmental needs in the local community. Unlike this study, however, very few studies have focused on the empowerment of NPOs themselves. NPOs cannot be change agents in the community if they are not empowered themselves, and have the opportunity to participate in social and political arenas.

The study's main research question is "How can participatory communication be used as an empowering process for local NPOs in becoming agents of social change?". This infers a closer look at the NPOs themselves and how participatory communication as a process can foster the psychological empowerment of their individual staff members, as well as the NPOs' organisational effectiveness in achieving their goals, which could eventually lead to the development and/or empowerment of their communities.

## 2.4 SUMMARY

This chapter presented a synopsis of the literature review on development communication and communication for social change. Firstly, the history of development and its accompanying theories of modernisation, dependency, 'another development'/multiplicity and participatory communication were presented. Secondly, the core concepts of participatory communication were indicated as dialogue; participation; consideration of cultural diversity; and empowerment leading to self-reliance. These theoretical concepts were used to derive guiding arguments that were applied specifically to the study. Lastly, empowerment was examined even further as an interdisciplinary concept; its different levels and organisational components were explored, and it was discussed in context of the dialectic synergy with participation and social change.

The literature review answered the first two specific research questions, as posed in Chapter 1:

- 1.3.1.1           What are the relevant assumptions on participatory communication and how it is linked to empowerment according to the recent theories of communication for social change?
  
- 1.3.1.2           How is empowerment defined according to recent theories of communication for development and social change?

The next Chapter, Chapter three, will discuss the chosen research design and specific methodology that were employed to gather empirical information for the study, and use the guiding arguments that were identified in this chapter to employ the core concepts and constructs to inform the methodology.

## CHAPTER 3: RESEARCH DESIGN AND METHODOLOGY

### 3.1 Introduction

This chapter discusses the applicability and reasons for the chosen research design and specific methods employed in order to answer the research questions as stated under 1.3 in Chapter one with the general research question being “***How can participatory communication be used as an empowering process for local NPOs to become agents of social change?***” The nature and design of the study is a qualitative, multi-case study and the empirical research methods include semi-structured interviews and focus group discussions. Besides research design and methods and the sampling of cases that will be discussed in Chapter three, the reliability, validity and triangulation of the research process will also be addressed concluding with ethical considerations.

### 3.2 Qualitative research

Qualitative research, also called naturalistic inquiry, is a form of social inquiry, which aims to understand the social reality of individuals, groups and cultures and their human experience, behaviour and perspectives. Qualitative researchers study phenomena in their natural setting and endeavour to interpret them in terms of the meaning people allocate to it (Holloway, 1997:2; Malterud, 2001:398; Denzin & Lincoln, 2014:3). The strength of the qualitative approach is its potential for revealing complexity through a richness of meaning in a holistic way, while embedding it in context (the situation or phenomenon’s context is not ignored).

The researcher chose to conduct this study according to a qualitative paradigm since it enabled the researcher to describe and interpret complex communication, relationships and personal experiences of the case studies, according to the meaning they ascribe to it. Through a qualitative approach, the experience of the local NPO, Private and Public Sectors’ participants could be interpreted from their perspective in a holistic way in the local context of social development in South Africa, as well as the broader context of development and communication for social change. The social phenomenon explored in depth in this case is participatory communication against a framework of empowerment in the context and, from the perspective of, the local NPOs.

Generally, in qualitative research the researcher does not attempt to manipulate the phenomenon of interest. Unobtrusive information-gathering techniques, like interviews and observations, in places and under conditions that are comfortable and familiar to participants, are predominantly used in the naturalist or interpretive paradigm (Nieuwenhuis, 2007:78; Patton,

2002:39). This was of relevance for the study as the researcher wanted to gather authentic information from the participants, and therefore tried not to influence the information shared/gathered by keeping the participants in their natural and familiar settings of their own offices.

### **3.3 Research design and methodology**

This study is an exploratory (instead of descriptive or explanatory), naturalistic inquiry into empowerment from the perspective of local NPOs and some of their stakeholders. The main research questions of the study are "how" and "why" questions and the researcher chose a multiple-case design with embedded or multiple units of analysis.

Case study research is indicated as the preferred method in social science research (in this case communication studies) if the following criteria are present: a) the main research questions are "how" and "why" questions; b) the researcher has little or no control over behavioural events; and c) the focus of study is contemporary phenomenon (as opposed to entirely historical). This methodology is especially relevant when the research questions require an extensive and in-depth description or exploration of the social phenomenon, rather than only confirming the existence of a phenomenon and quantifying data as in quantitative research (Kumar, 2014:155; Yin, 2014:2). The case study approach is therefore extremely suitable for the chosen research questions (refer to 3.3.1 for the list of research questions with their chosen methodology) that explore the "how" and "why" of the phenomenon of empowerment from the perspective of local NPOs and their stakeholders.

A case study is defined as an

*"empirical enquiry that investigates a contemporary phenomenon in depth and within its real-world context, especially when the boundaries between phenomenon and context may not be clearly evident"* (Yin, 2014:16).

Empowerment, as described by the available literature reveals a variety of definitions, fields and levels of application. Therefore, it is ideal to explore this concept and practise through a case study approach, as the "boundaries between phenomenon and context" are not yet absolutely defined and the concept occurs in various fields of study.

The distinct advantage of using case studies as the research method, compared to other methods in order to address the research question, is the fact that it lends itself to qualitative research to gather in-depth, "rich" information that is not devoid of context and personal meaning. Questionnaires and surveys' ability to investigate context, in contrast for instance, is

extremely limited. According to Nieuwenhuis (2007:75) case studies within a qualitative design offer a multi-perspective analysis, so the researcher can consider not only the voice and perspective of one or two participants in a situation, but also the views of other relevant groups of actors and the interaction between them. In this study, the researcher considers the perspectives of multiple participants across three distinct Sectors, the NPO, Private, and Public Sectors.

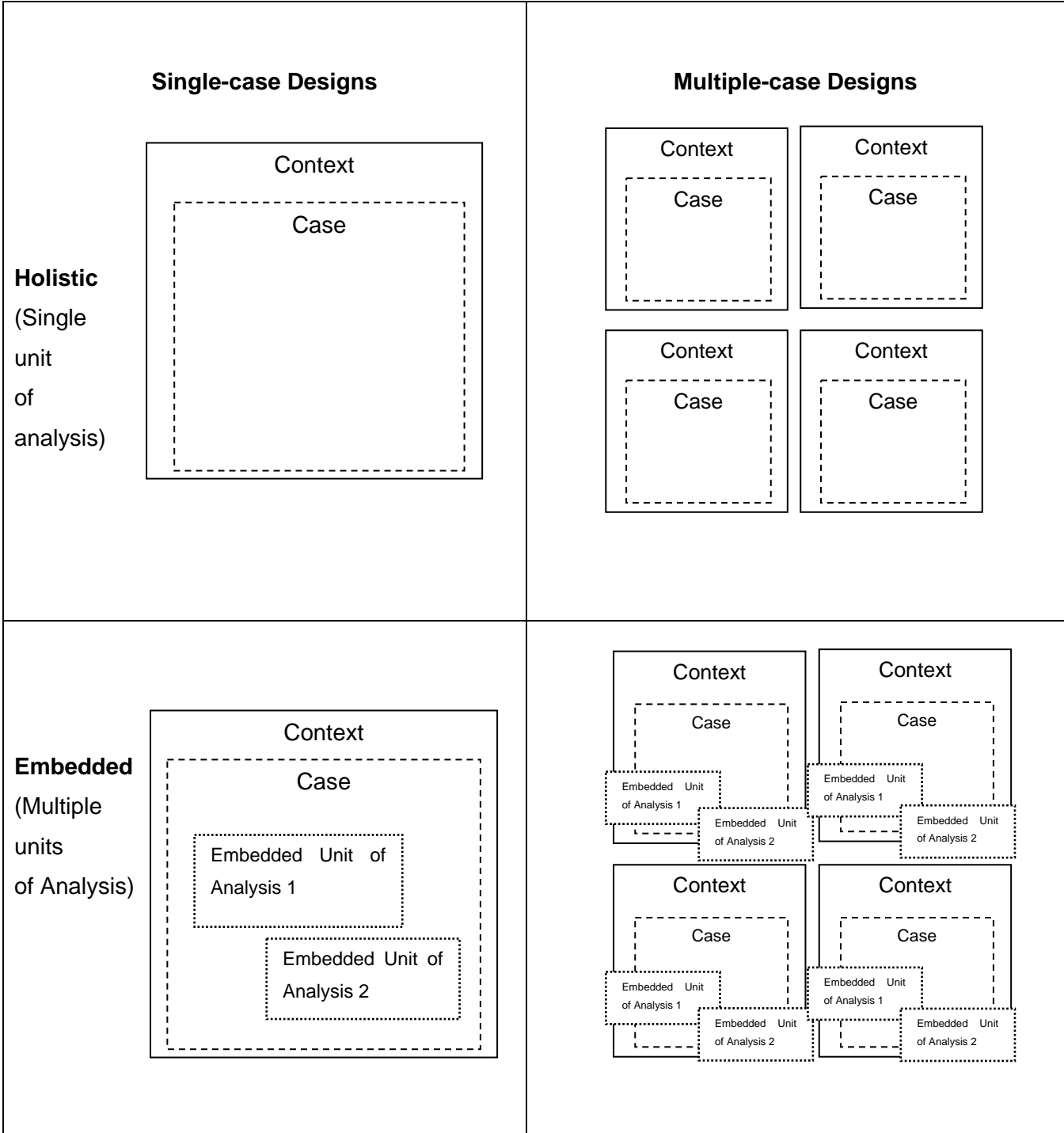
Kumar (2014:155) states that an advantage of using case study as research design is that the research can be much more detailed than a large sample but the corresponding disadvantage is that it is much more difficult to generalise findings. The case study design allowed the researcher to gain detailed information from the five case studies representing the local NPO Sector, on complex relationships with various stakeholders and specifically compare it to the Private and Public Sectors' view. A large sample would not have allowed detailed qualitative exploration without including more researchers and more time. The researchers included five case studies so that generalising of the findings in the local context of Potchefstroom could still be done.

The further choice to be made regarding case study as a research design is to choose between a single case and a multiple-case design. According to Yin (2014:51) the single case study is an appropriate design when it is a critical, unusual, common, revelatory, or longitudinal case. When the same study includes more than one case, it is referred to as a multiple-case design. Since evidence from multiple cases are often considered more compelling and robust than a single case, because the findings of the different case studies can be compared and provide another level of analysis to draw conclusions from, the researcher deliberately chose a multiple-case design over a single case (see Herriott & Firestone, 1983, Yin, 2014:57).

Yin (2014:55) further distinguishes between a holistic design and an embedded design (refer to Figure 3.1 for the differences between single and multiple-case designs, as well as holistic and embedded designs). If a case study involves units of analysis of more than one level and, attention is given to sub-units, it has become an embedded case study design. If a case study, for example, only examined the global nature of an organisation it would be a holistic design. In this study the phenomenon of empowerment is examined across different NPOs as case studies in their own contexts, according to a list of predetermined theoretical constructs (sub-units) (refer to 3.3.2. for the list of specific theoretical statements and constructs), with information collected from different individuals and groups (also sub-units), which implies an embedded design.

The final consideration in the research design is what Miles *et al.* (2014:21) describe as a loose versus tight research design. A loose design is not pre-structured and highly inductive.

Therefore, a researcher must have plenty of time when doing research and must be experienced, as research questions will become clear gradually as the study goes on. For a novice researcher, a tighter design is better and the researcher chose to work more deductively with pre-determined research questions, theoretical assumptions, and well-delineated constructs to provide clarity and focus during the information collection and analysis.



**Figure 3.1: Basic Types of Designs for Case Studies (Yin, 2014:50).**

### 3.3.1 Research questions

Research questions can be general or particular, descriptive or explanatory and focus the information collection and sampling decisions (Miles *et al.*, 2014:25-29). The researcher set the research questions first; then worked deductively to create research aims, and chose the research methods in order to best answer the questions.

The general research question reads: *How can participatory communication be used as an empowering process for local NPOs to become agents of social change?* as stated originally under point 1.3 in Chapter 1, as well as in this Chapter's introduction under 3.1.

The specific research questions, as stated under 1.3.1 in Chapter one, will be answered according to the following methods:

**Table 3.1 Research Questions and Corresponding Research Methods**

<b>Specific Research Question</b>	<b>Research Method</b>
1.3.1.1 What are the relevant assumptions on participatory communication and how it is linked to empowerment according to the recent theories of communication for social change?	<ul style="list-style-type: none"><li>• Literature study (Chapter 2)</li></ul>
1.3.1.2 How is empowerment defined according to recent theories of communication for development and social change?	<ul style="list-style-type: none"><li>• Literature study (Chapter 2)</li></ul>
1.3.1.3 According to the NPOs, how are their organisations being empowered?	<ul style="list-style-type: none"><li>• Semi-structured interviews</li><li>• Focus group interviews (Chapter 4)</li></ul>
1.3.1.4 How does the Public Sector view the empowerment process of local NPOs?	<ul style="list-style-type: none"><li>• Semi-structured interviews (Chapter 4)</li></ul>
1.3.1.5 How does the Private Sector view the empowerment process of local NPOs	<ul style="list-style-type: none"><li>• Semi-structured interviews (Chapter 4)</li></ul>

### 3.3.2 Concepts and operational definitions of constructs

The following are the theoretical concepts and constructs as summarised from the available literature on the participatory approach, as discussed in Chapter two.

**Table 3.2 Concepts and constructs derived from literature study**

Concept	Constructs
Dialogue	<p><b>a) Two-way, horizontal communication</b> The NPO and its stakeholders engage in two-way, horizontal communication, meaning that all parties have equal rights and opportunity to engage in dialogue by speaking and listening.</p> <p><b>b) Shared meaning/context</b> The intention of dialogue is to ideally, create a shared meaning and context for problems or ideas being discussed between the NPO and its stakeholders, and to understand the other party's background and goals. This will increase trust and participation.</p> <p><b>c) Interpersonal communication</b> The NPO and its stakeholders engage two-way, horizontal communication, and although different communication channels like e-mail and media are available, they still make time to also engage in interpersonal, face-to-face interaction, like individual conversations and meetings.</p> <p><b>d) Conscientisation and praxis</b> The NPO and its stakeholders engage in conscientisation by collective reflection over their shared context and reality and have a problem-solving approach that identifies the beneficiaries' developmental needs. This is moved into praxis by taking action to provide for the developmental needs or solve the beneficiaries' problems (action-reflection-action) identified.</p> <p><b>e) Mutual trust and respect</b> The NPO and its stakeholders have a relationship built on mutual trust and respect, which leads to dialogue where they engage as equal partners in the communication process.</p>
Participation	<p><b>a) Dialectic communicative process</b> The NPO actively engages in interaction and dialogue in communicating and sharing information with its internal and external stakeholders (e.g. volunteers, employees, beneficiaries, partners, funders, Public Sector, Private Sector, etc.).</p>

	<p><b>b) Levels of participation</b> Participation can be high-level (information sharing and consultation) or high-level (collaboration and empowered participation through the whole of a project). The ideal is high-level participation, which is the only form that leads to empowerment and self-management.</p> <p><b>c) Participation in planning</b> People are involved in the identification of the community's developmental needs or problems, as well as the planning of developmental projects with the intent to provide for the needs or solve the problems for the project beneficiaries.</p> <p><b>d) Participation in implementation</b> Stakeholders are actively encouraged and prepared to take part in the realisation of projects by giving them certain responsibilities or tasks or expecting them to give specific resources like time, labour or materials to complete the projects.</p> <p><b>e) Participation in evaluation</b> After a project is completed, the participants are asked to critique the success or failure of the project life cycle from its beginning to its end.</p> <p><b>f) Participation in benefits</b> Stakeholders/beneficiaries take part in enjoying the beneficial outcomes of a completed project e.g. needs that are met and problems that are solved.</p> <p><b>g) Collaboration and collective decision making</b> The NPO collaborates with its stakeholders to share information, ideas, identify needs and collectively decide on actions to be taken or projects to implement. The collective effort should lead to empowerment.</p>
<b>Cultural Diversity</b>	<p><b>a) Acknowledgement of cultural diversity and cultural freedom</b> The NPO acknowledges, accepts, tolerates and respects the different cultural values, customs and language(s) of the community it functions in and serves, as well as that of its different volunteers or employees. It respects the community's cultural freedom to live in a way of their choosing and does not try to force a different culture on them. The Private and Public Sectors acknowledge, accept, tolerate and respect that the society is not homogenous. Every NPO is unique and different, and also has its own organisational culture, besides the community culture it operates in.</p> <p><b>b) Strengthening of group identity</b> The NPO creates and fosters a group identity by identifying shared values, beliefs and behaviour which the group aspires to or encourages. This includes the group identity of the local community (e.g. Setswana</p>

	<p>people, Ikageng residents, working women, foster parents, youth or the elderly) and the organisational group identity (e.g. mission and vision, logo, organisational code of conduct, corporate identity, team building, and team perspective).</p> <p><b>c) Indigenous knowledge</b></p> <p>The NPO acknowledges indigenous knowledge, which members of its community have built up through experience and culture, and regards it as a resource for development in its context. Similarly, the Private and Public Sectors acknowledge the indigenous knowledge, experience and culture of the NPO and regard it as a resource for development in its context.</p>
<b>Empowerment</b>	<p><b>a) Increased capacity</b></p> <p>The NPO as an organisation, or individuals working for the NPO, has an increased capacity to control their own lives in terms of either more access to resources, or the ability to make choices or decisions that impact on their lives and operations.</p> <p><b>b) Self-reliance</b></p> <p>The NPO as an organisation or individual working for the NPO can make their own decisions, manage their own systems (i.e. financial, operational and human resources) and use their own resources in the community, to address development or effect social change, without having to rely on outside help.</p> <p><b>c) Participatory behaviour</b></p> <p>Participation leads to empowerment and empowered people participate more. NPO employees or volunteers are more involved and willing to confidently participate in a group and engage in dialogic interaction with their colleagues and stakeholders and to invest in relationship-building and problem-solving.</p> <p><b>d) Levels of empowerment</b></p> <p>Successfully empowered NPOs strive to achieve or inspire empowerment at individual, organisational and community level.</p> <p><b>e) Empowered NPO</b></p> <p>The NPO is experiencing the confidence, increased capacity and self-reliance to successfully manage its own affairs and reach its goals.</p> <p><b>f) Empowering NPO</b></p> <p>The positive energy and power the NPOs generate through being empowered themselves, are used to positively influence their volunteers or employees and the community they serve, to increase their skills and gain a sense of control over their own lives. The empowered NPO empowers its members and community to make purposeful choices and</p>

	<p>increase their capacity to transform these choices into desired actions and outcomes e.g. identifying and solving community problems.</p> <p><b>g) Intra-organisational component</b></p> <p>It is critical for NPOs to have an internal organisational structure and structured operational functioning, which provide the infrastructure for members to engage in proactive behaviours needed for achieving goals. Examples are clearly identified roles and tasks of members, access to resources (e.g. equipment, skills, funding) in order to fulfil these tasks, and clear communication of goals.</p> <p><b>h) Inter-organisational component</b></p> <p>NPOs can reach development goals and the social change they could not achieve on their own, by reaching out, building relationships and collaborating with other NPOs and organisations in their community. This could mean enhancing each other's operations with different skill sets, trading resources or services, or lending a bigger representation (a "louder voice") when joining forces in advocacy for example.</p> <p><b>i) Extra-organisational component</b></p> <p>The empowered NPOs take actions to affect or control the larger environments in which they function, like policy change, creating alternative services, or successful advocacy for the communities or groups they represent and serve. For example negotiating with local Government and private companies for better services or policies, or providing it when Government cannot – e.g. job creation, providing housing and education, or caring for vulnerable groups like the elderly, people with disabilities or orphans.</p>
--	--

### 3.3.3 Sampling of participants/cases

As stated previously this study made use of multiple-case study research. Qualitative research uses purposeful (also known as judgemental or information-oriented) sampling, which entails selecting specific and relevant settings, persons or activities deliberately in order to answer the research questions based on existing knowledge which the researcher acquired (Maxwell, 2013:96-99, Kumar, 2014:155).

The researcher strategically and purposefully selected different case studies which are relevant and representative of the different development social clusters as indicated by the Department of Social Development: youth; women; children and families; older persons; and persons with disabilities (South Africa, 2012). These NPOs were also geographically and immediately accessible.

The researcher subscribes to the five possible goals for purposeful sampling as identified by Maxwell (2013:96-99):

- To attain a representative or typical sample of settings, individuals or activities – in this case representative of the small, local development NPOs and, representative of the different social clusters.
- To adequately capture diversity or maximum variations in the sample by selecting individuals or settings which represent the most important possible variations relevant to the study – in this case different sized NPOs according to number of staff, number of beneficiaries and number of stakeholders providing funding, as well as different management backgrounds (e.g. particularly race, gender, age and education).
- To deliberately select cases that are critical to the investigation, or representative of theories that were chosen as the framework for the study.
- To compare cases and focus on the specific reasons for differences between individuals or cases. Maxwell (2013:96-99) indicates that although comparative design is often used in multiple-case studies, absolute comparisons are not very useful in small-scale qualitative studies, as the ability to draw firm conclusions about differences is limited. Comparative design also has the tendency to skew a study towards the analysis of differences, instead of focussing on the main strength of qualitative research which is to explain and interpret local processes, meanings and contextual influences of specific settings or cases. Although the different cases were compared in this study, the study will focus more on commonalities than differences, as they were already chosen with differences (maximum variations in the sample as mentioned previously) in mind. The researcher proposes that the search for commonalities in their contexts and communication will better answer the research question of *“How can participatory communication be used as an empowering process for local NPOs in becoming agents of social change?”*
- To purposefully select participants with whom the most productive relationships can be forged in order to answer the research questions. It can be seen as convenience sampling, but is in fact a purposeful selection to provide the best possible information. In this study cases were purposefully selected for their reputation of being dependable for long-standing service to the community and existence, having all been in operation for at least five years or longer, predicting that they will also still be operation by the time the study finishes.

The researcher selected local NPOs of different sizes operating on community level in the Tlokwe Municipality area, in the Dr. Kenneth Kaunda District in the North West Province as the case studies. The focus was to be on small NPOs with limited resources, therefore not NPOs with reach beyond their geographical area, multiple branches or with international roots.

On examining definitions of sizing, the reports of the Department of Social Development (South Africa, 2005, 2012) gave no clear indication of size of the NPOs, but distinguished only according to which Sector they belonged to, and the type of organisation – Voluntary Association, Section 21 Company or Trust. The majority of registered NPOs are Voluntary Associations (95%) whereas Section 21 companies constituted 3% and non-profit Trusts made up 2% (South Africa, 2012:7).

According to the NPO Impact Assessment, a quantitative study which included a telesurvey of five sample groups across the different provinces, of 100 NPOs each, reference is made to employment and financial capacity (South Africa, 2005). As some NPOs would consider financial turnover as sensitive information and would not necessarily be forthcoming with this information, the next logical information to base size on, would be number of employees/volunteers and number of beneficiaries. The NPO Impact Assessment measured the number of employees/volunteers in the following range: 0; 1-5; 6-10; 11-15; and 15+. Most groups fell within the ranges of 0 and 1-5 employees/volunteers. To refer to other sizing ranges, the researcher compared this to the National Small Business Act (102 of 1996) which defines small business enterprises according to the number of employees, total turnover and total fixed asset value. Sizes are micro (5 employees), very small (20 employees), small (50 employees), and medium (200 employees) (The Banking Association South Africa, 2013). This sizing could not be adopted, as all the selected case studies would then be lumped into the same category.

The researcher decided on her own size scale as a differentiator in the descriptions of the chosen case studies:

**Table 3.3: Sizing indicators for chosen case study NPOs**

	Very Small	Small	Medium	Large
Number of Employees	1-5	6-10	11-15	15+
Number of Volunteers	0-5	6-10	11-15	15+
Number of Beneficiaries	0-20	21-50	51-70	70+

Taking the above goals of purposeful sampling into consideration, the researcher selected the following NPOs as case studies to answer the research question and to explore whether the same communication principles contributing to or detracting from empowerment are applicable to all:

- **Ikageng Day Care Centre for the Aged**

Ikageng Day Care Centre for the Aged is run by a single determined person, Malebona Susan Luthuli, also known as “Aunt Suzie”. She is an African elderly woman, aged 80, who has been involved in community work for many years and, for the past twelve years, has been caring for 16 - 20 elderly people daily by providing them with a safe environment, food, and stimulating, productive activities. Aunt Suzie also visits elderly people who cannot leave their shacks, providing them with basic medical care and food on a regular basis. Before retirement, while she was still employed, she was a cleaner at the Potchefstroom base of the SA Military, and completed short certificate training in elderly care. She has not completed secondary education (Luthuli, 2013). According to the sizing indicators in table 3.3, this NPO is considered very small.

- **Mosaic SA**

Mosaic SA started in 2008 and aims to develop and implement a self-sustainable model to take care of orphans in Ikageng, by providing to families who have two or more orphans in foster care/adoption with proper houses to rent, as well as skills training, job opportunities, life skills training and after school activities. The project thus far includes 22 houses with 64 children living there of whom more than 50 are orphans, two side business ventures providing jobs to more than 40 people, a training centre to facilitate afterschool activities and access to a private school for its children. It has five full-time volunteers (four white, one African) between the ages of 20 and 40, of which two are male, all with tertiary education. One volunteer is an American citizen (Conradie, 2013; Ridge, 2013). According to the sizing indicators in table 3.3, this NPO is considered medium to large.

- **NG Welfare Potchefstroom branch**

NG Welfare North West & Gauteng (trading as NG Welfare North West) is the Dutch Reformed (*Nederduits Gereformeerde* or NG) Church’s social welfare services in the North

---

<sup>3</sup> The original focus of the study was to be on small NPOs with limited resources, therefore not NPOs with reach beyond their geographical area, multiple branches or with international roots. Mosaic has however expanded rapidly during the duration of the study, and has since duplicated the concept in Paarl, in the Western Cape Province, and is planning to also open a branch in Port Elizabeth in the Eastern Cape Province. Although they do not have international roots, they have registered an NPO in the USA in order to raise more overseas funding.

West Province and in the Vaal and West Rand regions of Gauteng. The focus is on individuals and families in need. NG Welfare has been operating since 1995 in North-West Province (since 1981 in the then Western Transvaal, as the Synod Commission for the Ministry of Caring). It has a well-established infrastructure with a staff corps of approximately 600 people through 16 welfare offices (family care), 9 homes for older persons, 2 children's homes and several community centres, as well as 2 service centres for older persons. However, every branch is registered as its own NPO and this study will only focus on the Potchefstroom branch, which works in Potchefstroom, Ventersdorp and allocated areas in Ikageng and Promosa. Therefore, although the NPO is linked to a bigger body (also registered as NPO) with effective infrastructure, the branch itself is small and only has four female staff members. The NPO's focus is predominantly the placement of orphans in foster care, but they also deal with drug abuse and other social issues.

This NPO was deliberately chosen because of its distinct difference to the other NPOs. It has to report to a head office and the Department of Social Development, and has specific bureaucratic systems and jurisdiction in place that need to be considered in their daily operations, unlike the other NPOs. The four staff members are all female, between the ages of 25 and 45, three white, one African, and consist of two social workers, an auxiliary social worker and an office administrator. All have tertiary education. According to the sizing indicators in table 3.3, this NPO is considered very small when looking at the number of employees, but large when looking at the number of beneficiaries which are at least 150 case files per social worker (Erasmus, 2013).

- **The Thakaneng Project**

The Thakaneng Project has been in operation since 1995 and focuses on youth and street children. Thakaneng is a Setswana word meaning "a place where boys stay together". It is a shelter for up to 60 boys between the ages of seven and eighteen, who are victims of poverty, neglect, drug abuse, violence, sexual abuse and/or other circumstances that forced them out of their homes. Thakaneng has five full-time staff members and one relief worker, all African, between the ages of 25 and 55, of which two is male. The one social worker has tertiary education. According to the sizing indicators in table 3.3, this NPO is considered small to medium.

- **Tshwaraganang Centre for People with Disabilities**

Tshwaraganang Centre for People with Disabilities was established in 1993 to provide people with disabilities with skills training and gaining employment, giving referrals to special schools and giving access to wheelchairs. The Centre campaigns issues for the disabled and has regular meetings with disability co-ordinators at the local Municipality, as well as

engaging in disability forums and NPO forums with local and provincial Government. The Centre has seven staff members, all African (three males and four females) between the ages of 20 and 50, some with tertiary education. It cares for 23 members (teenagers or adults with disabilities) on a daily basis. Skills training in computer use, woodwork, sewing, wheelchair repair, and arts and crafts (beading) are offered. According to the sizing indicators in table 3.3, this NPO is considered small to medium.

### **3.4 Information collection methods**

According to Bauer *et al.* (2002:5) the represented social world is made up of information as a result of communication processes. He distinguishes between formal and informal communication as two modes of social information which are constructed from three media, namely text, image and sound.

In this study, information was gathered from both modes, but is focusing on texts: transcriptions and audio tapings of semi-structured interviews of Government officials, corporate investors/donors and NPO members, as well as NPO focus groups. Using more than one form of text is a method of triangulation, to increase the reliability of the study (refer to 3.5 for more information on reliability, validity and triangulation).

The following paragraphs describe the different information collection methods utilised in this study: literature study, semi-structured interviews and focus group discussions.

#### **3.4.1 Literature study**

A detailed literature study and search were conducted to ascertain what research has already been done in the field of communication for social change, and to ensure that no other comparable study has been done on the specific topic. The following databases were consulted: EBSCOhost: Academic Search Premier, Business Source Premier, Communication & Mass Media Complete, eBook Collection (EBSCOhost), E-Journals, ERIC, SocINDEX; Ferdinand Postma Catalogue, NEXUS; International Theses and Dissertations; Emerald; Science Direct and Google Scholar.

Chapter 2 of this dissertation consists of the literature study, which gives an overview of the history and development of communication for social change. It also indicates and elucidates the normative approach to communication for social change, which is participatory communication.

As previously indicated, the literature review endeavours to answer the first two specific research questions (refer to Chapter 1, point 1.3, as well as Chapter 2, point 2.1):

- 1.3.1.1        What are the relevant assumptions on participatory communication and how it is linked to empowerment according to the recent theories of communication for social change?
- 1.3.1.2        How is empowerment defined according to recent theories of communication for development and social change?

By reviewing the literature, the researcher also gained insights into the ways in which to conduct the research and formulated theoretical guiding arguments, concepts and constructs based on the literature. Refer to point 1.5 in Chapter 1 and text boxes 2.1 – 2.4 under points 2.2.5.4.1 through to 2.2.5.4.4 in Chapter 2 for the guiding arguments, as well as table 3.2 in Chapter 3 for the concepts and constructs derived from literature study.

These theoretical guiding arguments, concepts and constructs were also used to investigate and answer the next three specific research questions (refer to Chapter 1, point 1.3).

- 1.3.1.3        According to the NPOs, how are their organisations being empowered?
- 1.3.1.4        How does the Public Sector view the empowerment process of local NPOs?
- 1.3.1.5        How does the Private Sector view the empowerment process of local NPOs?

These three research questions will be answered by means of information gathered from semi-structured interviews, and focus group discussions. The theoretical constructs were used to formulate the interview guide for the interviews and focus groups.

### **3.4.2 Semi-structured interviews**

Interviews, in their plainest sense, are conversations with the purpose to gather information. The aim of the qualitative interview is to see the world through the eyes of the participant, as a source for rich descriptive information that reveals his/her construction of knowledge and social reality (Nieuwenhuis, 2007:87).

Semi-structured interviews gave the interviewer the opportunity to not only use a pre-determined list of questions and/or topics, but also the freedom to digress and explore wider or

more in-depth than the list (Berg, 2001:66, 70). Gray (2004:214) asserts that interviews are the best approach when the objective of the research is largely exploratory and are especially useful in examining feelings or attitudes. They are also preferable over questionnaires, as questions are open-ended or complex and in cases where it is likely that people will enjoy talking about their work, rather than filling in a closed-ended questionnaire.

The researcher chose this method of gathering information as it is more appropriate in complex situations, is useful for collecting in-depth information, and would give the interviewer the opportunity to explain questions, unlike with a questionnaire. Another advantage was that the information shared by the interview participants could be supplemented by observing their non-verbal reactions through giving context and meaning to their words (see Kumar, 2014:182).

#### **3.4.2.1 Interviews with different role players and stakeholders**

Several participants were asked to participate in semi-structured interviews lasting 60 to 90 minutes, and a range of open-ended questions was used to gather empirical information during the interviews. Participants included members (management and employees/volunteers) of each one of the five case study NPOs, Private Sector representatives, as well as local Government and University officials representing the Public Sector:

- a) **NPO Sector** (Also refer to point 1.8.3 in Chapter 1 for the definition of the NPOs)
  - Mrs Susan Luthuli (Ikageng Day Care Centre for the Aged),
  - Ms Louise Conradie (Founding member: Mosaic),
  - Ms Retha Erasmus (Social Worker: NG Welfare).
  - Mr Meshack Seemelo (Project Manager: Thakaneng Project) and
  - Mr Mishake Matlawe (Tshwaraganang Centre of People with Disabilities),
  
- b) **Private Sector** (Also refer to point 1.8.4 in Chapter 1 for the definition of the Private Sector)
  - Participant A (member of Potch-Tlokwe Chamber of Commerce)
  - Participant B (member of Potch-Tlokwe Chamber of Commerce)
  - Participant C (member of Round Table)
  
- c) **Public Sector** (Also refer to point 1.8.5 in Chapter 1 for the definition of the Public Sector)
  - Ms Mabel Makoba (Office of Transversal Issues, Tlokwe City Council Local Municipality);
  - Ms Koketso Molosankwe (Community Development Practitioner of the Department of Social Development, Potchefstroom service point);

- o Ms Beatrix Bouwman (Director of Community Engagement of the North-West University's Institutional Office).

This approach, of interviewing various Sector representatives, plays to the strength of qualitative research as it offers a multi-perspective analysis, so the researcher can consider not only the voice and perspective of one or two participants in a situation, but also the views of other relevant groups of actors and the interaction between them (see Nieuwenhuis, 2007:75).

To keep discomfort to a minimum and keep the setting naturalistic, respondents were interviewed at their places of work. Confidentiality was maintained by keeping the information about participants and information collected from them private, and only using it for the purpose of the research. Participants could remain anonymous in the reporting if they so preferred.

### 3.4.2.2 Recording and note-taking

The researcher asked permission to record each of the fifteen interviews and took notes. As soon as the interviews were over, the researcher listened to the recordings and reviewed, the notes to identify any gaps in the information gathered which would warrant a follow-up interview.

### 3.4.2.3 The interview guide

An interview guide was drawn up based on the theoretical framework, concepts and constructs identified from the theoretical guiding arguments. Refer to point 1.5 in Chapter 1 and text boxes 2.1 to 2.4 under points 2.2.5.4.1 through to 2.2.5.4.4 in Chapter 2 for the guiding arguments, as well as table 3.2 in Chapter 3 for the concepts and constructs derived from literature study.

The interview guide is a list of questions or discussion points that are asked of all the participants, in order to ensure the comparability of their answers on the same issues or discussion points (Kumar, 2014:195). The set of questions for the NPO representatives differed slightly from the set of questions for the Private and Public Sectors' representatives.

**Table 3.4 Semi-structured interview questions to NPO representatives**

Construct	Questions
<b>1. Dialogue</b> a) Two-way, horizontal communication b) Shared meaning/context c) Interpersonal communication d) Conscientisation and praxis	i. How does communication between the members of the NPO take place? ii. How do you decide on what the NPO's projects will be? iii. What was the process of planning and implementing

<p>e) Mutual trust and respect</p>	<p>the projects you are currently involved in?</p> <p>iv. How is your input or feedback incorporated into the project(s)?</p> <p>v. What is your relationship like with the community?</p> <p>vi. What is your relationship like with private companies?</p> <p>vii. What is your relationship like with the Government?</p>
<p><b>2. Participation</b></p> <p>a) Dialectic communicative process</p> <p>b) Levels of participation (high-level vs low level...consultation, information sharing, collaboration, decision making)</p> <p>c) Participation in planning</p> <p>d) Participation in implementation</p> <p>e) Participation in evaluation</p> <p>f) Participation in benefits</p> <p>g) Collaboration and collective decision making</p>	<p>i. How does communication take place between the NPO and stakeholders like the community, outside companies or the Government take place?</p> <p>ii. How do you involve the community in your projects?</p> <p>iii. How do you involve outside companies in your project(s)?</p> <p>iv. How do you involve the Government in your project(s)?</p> <p>v. How do you involve other NPOs in your project(s)?</p> <p>vi. How are the stakeholders actively involved in the decisions about the project from start to finish?</p>
<p><b>3. Cultural Diversity</b></p> <p>a) Acknowledgement of cultural diversity</p> <p>b) Strengthening of group identity</p> <p>c) Indigenous knowledge</p>	<p>i. How do the different cultures of your NPO members and the community affect communication and projects?</p> <p>ii. How do you make sure your NPO works as a team?</p> <p>iii. How do you include the experience or knowledge of your community members into your projects?</p> <p>iv. To what extent does the Private Sector (companies) take the NPOs cultural diversity into account when communicating with your organisation?</p> <p>v. To what extent does the Public Sector (Government) take the NPOs cultural diversity into account when communicating with your organisation?</p>
<p><b>4. Empowerment</b></p> <p>a) Increased capacity</p> <p>b) Self-reliance</p> <p>c) Participatory behaviour</p> <p>d) Levels of empowerment (individual, organisational, community)</p> <p>e) Empowered NPO</p> <p>f) Empowering NPO</p> <p>g) Intra-organisational component</p>	<p>i. How is your role in the NPO and its projects set out?(a, b, c, d, f and g)</p> <p>ii. How does the NPO provide you with the resources you need to perform your tasks? (a, b, c, d, f and g)</p> <p>iii. How do you know you as an individual are making a difference in your NPO? (a, b, c, d, f and g)</p> <p>iv. What gives you confidence that your NPO can make a difference in the community? (a, b, c, d, e, f and i)</p> <p>v. How dependent is the community on your NPO? (a, b, c, d, f and i)</p>

<ul style="list-style-type: none"> <li>h) Inter-organisational component</li> <li>i) Extra-organisational component</li> </ul>	<ul style="list-style-type: none"> <li>vi. How is the community equipped to possibly later function without your NPO's support? (a, b, c, d, f and i)</li> <li>vii. How dependent is your NPO on the support of outside companies? (a, b, c, d, e and h)</li> <li>viii. How dependent is your NPO on the support of the Government? (a, b, c, d, e and h)</li> <li>ix. How do you collaborate with other NPOs in the community? (a,b, c, d, e, f and h)</li> </ul>
--	--

**Table 3.5 Semi-structured interview questions to Private and Public Sectors' representatives**

<p><b>1. Dialogue</b></p> <ul style="list-style-type: none"> <li>a) Two-way, horizontal communication</li> <li>b) Shared meaning/context</li> <li>c) Interpersonal communication</li> <li>d) Conscientisation and Praxis</li> <li>e) Mutual trust and respect</li> </ul>	<ul style="list-style-type: none"> <li>i. How does communication between your company/department and the NPO take place?</li> <li>ii. How does the NPO involve your company/department in its project(s)?</li> <li>iii. How is your input or feedback incorporated into the NPO's project(s)?</li> <li>iv. What is your relationship with the NPOs like?</li> </ul>
<p><b>Participation</b></p> <ul style="list-style-type: none"> <li>a) Dialectic communicative process</li> <li>b) Levels of participation (high-level vs. low level: consultation, information sharing, collaboration, decision making)</li> <li>c) Participation in planning</li> <li>d) Participation in implementation</li> <li>e) Participation in evaluation</li> <li>f) Participation in benefits</li> <li>g) Collaboration and collective decision making</li> </ul>	<ul style="list-style-type: none"> <li>i. What does your company's/department's support or involvement of the NPO entail?</li> <li>ii. How do you involve them in your Corporate Social Investment/community development planning and execution? In what stages, from start to finish?</li> <li>iii. How does the NPO involve you in their projects? In what stages, from start to finish?</li> <li>iv. How does the NPO involve the community in their projects?</li> <li>v. To your knowledge, how do the different NPOs work together in the community?</li> <li>vi. How do you evaluate if projects with the NPOs, or projects you support, have been successful?</li> <li>vii. Who all benefit from completed projects?</li> </ul>
<p><b>5. Cultural Diversity</b></p> <ul style="list-style-type: none"> <li>a) Acknowledgement of cultural diversity</li> <li>b) Strengthening of group identity</li> <li>c) Indigenous knowledge</li> </ul>	<ul style="list-style-type: none"> <li>i. Does your company/department acknowledge the culture of the community? How?</li> <li>ii. Does the NPO acknowledge the culture of the community? How?</li> <li>iii. What does the NPOs organisational culture or identity</li> </ul>

	<p>entail according to your observation? What are they known for?</p> <ul style="list-style-type: none"> <li>iv. How well does the NPO function as a team?</li> <li>v. How does the NPO's culture influence the collaboration with your company/department?</li> <li>vi. How do you include the experience or knowledge of NPOs in your corporate social investment/community development projects?</li> </ul>
<p><b>6. Empowerment</b></p> <ul style="list-style-type: none"> <li>a) Increased capacity</li> <li>b) Self-reliance</li> <li>c) Participatory behaviour</li> <li>d) Levels of empowerment (individual, organisational, community)</li> <li>e) Empowered NPO</li> <li>f) Empowering NPO</li> <li>g) Intra-organisational component</li> <li>h) Inter-organisational component</li> <li>i) Extra-organisational component</li> </ul>	<ul style="list-style-type: none"> <li>i. How confident is the NPO that they are making a difference in the community? Why do you say so? (a, b, c, e)</li> <li>ii. How are the NPOs making a difference in the community and/or larger society? (a, b, c, d, e, f, i)</li> <li>iii. How dependent is the community on the NPOs? (a, b, d, f, i)</li> <li>iv. How is the community equipped to possibly later function without the NPO's support? (a, b, c, d, f, i)</li> <li>v. How, if at all, would the NPOs be able to operate on their own, without your support? (a, b, c, d, e)</li> <li>vi. What do you think is the NPOs greatest need and how can they control it? (a, b, e)</li> <li>vii. How well do the NPOs function internally as individual organisations employing people? Why do you say so? (a, b, c, d, e, g)</li> <li>viii. How well do the NPO collaborate with other organisations, including yours? Why do you say so? (c, e, h)</li> </ul>

### 3.4.2.4 Transcription of the interviews

The interview recordings were transcribed verbatim and then analysed according to the theoretical concepts and constructs. The transcriptions of interviews of each Sector were used to identify the four different concepts, namely dialogue, participation, cultural diversity and empowerment, with their accompanying constructs (refer to point 3.3.2 for the list of theoretical constructs). In the case of the NPO Sector, the transcriptions of the interviews were compared to the transcriptions of the focus group discussions (see point 3.4.3) each of the five case study's results were discussed under each of the four concepts. The guiding arguments were used in the interpretation of the results in Chapter 4.

### **3.4.3 Focus group discussions**

The researcher engaged in focus group discussions with the NPOs as another method of information gathering and also to explore the diversity in opinions on different issues. Focus groups are a qualitative research information gathering method, which explores the opinions and perceptions towards an issue, by engaging in free and open discussion between the members of the group and the researcher. It is a low-cost and popular method in almost every professional area and academic field (Kumar, 2014:156-157). The focus group discussion should however not be confused with a group interview. In a group interview, the group members are left to discuss whatever they want, while in a focus group interview the discussion is focused on a specific topic and debate, and even conflict are encouraged. The group dynamic assists in the generation of information and the participants engage with each other instead of just directing answers to the moderator/interviewer (Nieuwenhuis, 2007:90).

Focus groups were initially used in market research where a group of people's attitudes towards new products was tested, but its popularity has spread to wider aspects of research (Gray, 2004:230). Focus groups facilitate interaction and discussion between participants. A disadvantage of focus groups however, is that the interviewer has less control over a group discussion, than an individual interview, resulting in a more time-consuming exercise. The information is also more complex to analyse, because the different participants first need to be identified in audio recordings and notes, for the information to make sense (Marshall & Rossman, 1999:115).

The focus group discussions were employed to answer the general research question: *How can participatory communication be used as an empowering process for local NPOs in becoming agents of social change?*; as well as the specific research question 4.1.3: *According to the NPOs, how are their organisations being empowered?* The focus groups focused on what the NPOs define as empowerment and how the NPOs are empowered according to themselves.

#### **3.4.3.1 Focus group per NPO**

The researcher used NPO focus groups to stimulate dialogue as a means for NPOs to reflect collectively on their circumstances and shared challenges, with the objective to stimulate and observe problem-solving initiatives that are part of the collaboration of participatory communication. Separate focus group interviews with the employees or volunteers of four of the five case study NPOs (Mosaic, Tshwaraganang, Thakaneng Project and NG Welsyn, but excluding Ikageng Day Care Centre for the Aged who only has one person) were conducted at

their premises in order to keep discomfort to a minimum and keep the setting naturalistic. Group sizes varied between four and six people. Participants were known to each other and introduced to the researcher but, their responses could remain anonymous in the discussion of results in Chapter 4, if they so preferred.

**3.4.3.2 Collective focus group**

A collective focus group with employees or volunteers from all five case study NPOs in one group (7 people) was conducted to reflect on shared communication problems and empowerment. This helped the researcher to identify commonalities and differences between the different case study NPOs.

The focus group interviews were held at one of the NPO offices in Ikageng, which did not entail extensive travelling for the participants. Confidentiality was maintained by keeping the information about the participants and information collected from them private, and only used for research purposes. Participants were introduced to each other and the researcher but, their responses could remain anonymous in the discussion of results in Chapter 4, if they so preferred.

**Table 3.6 Focus group questions**

<p>1. <b>The question of communication:</b> Discuss - how do you engage and communicate within the NPO and with your different stakeholders when planning and carrying out projects/operations?          Concepts: Dialogue and Participation.          Prompts: list stakeholders, stages of a project: planning, implementation, evaluation, benefits</p> <p>2. <b>The question of culture:</b> What is the role of culture and how does it impact your day-to-day operations and communication with all your stakeholders?          Concepts/Constructs: acknowledgment of diversity and freedom, group identity, indigenous knowledge.          Prompts: How does it add value to your operations? Remember the different stakeholders.</p> <p>3. What would you say are your biggest needs and challenges in reaching your development goals as NPOs?</p>
--

*This question involves them in conscientisation and praxis and leads up to the question of empowerment.*

Concepts/Constructs: Empowerment, looking for self-reliance vs. reliance on stakeholders

4. **The question of empowerment:** What is your perception on your capacity as individuals and as organisations to control or impact circumstances that affect you and the community? How has it changed over time?

Concepts/Constructs: Empowerment: increased capacity, different levels (individual, organisational or community), different components (intra-, inter- and extra-organisational), participatory behaviour.

Prompts: Think about your ability to reach your goals. Think about this capacity/ability starting with yourself, your own organisation, and then widen the reach to other NPOs and organisations, and then to the bigger community.

5. What is your opinion on NPOs working together?

Concepts/Constructs: Empowerment: Collaboration

### **3.4.3.3 Recording, note-taking and transcription**

Permission was asked to record the audio of the interviews and, the researcher also took notes during the interviews. Verbatim transcriptions were made of the interviews to help in the comparison between the information gathered from the different case studies. The transcriptions and notes were also compared. An assistant observer was also used to take notes and add value to the researcher's gathered information and enhance the credibility of the study. The transcriptions of NPO focus group discussions were compared to the transcriptions of the NPO interviews. These transcriptions were used to identify the four different concepts, namely dialogue, participation, cultural diversity and empowerment, with their accompanying constructs (refer to 3.3.2 for the list of theoretical concepts and constructs), and each of the five case study's results were discussed under each of the four concepts. The guiding arguments were used in the interpretation of the results in Chapter 4.

## **3.5 Reliability, validity and triangulation**

The reliability and validity of research in the qualitative paradigm are described as the trustworthiness, rigour and quality (i.e. accuracy and appropriateness) of the methods used for

finding answers to the research questions (Golafshani, 2003:604; Kumar, 2014:212). A way of doing so is triangulation – using multiple methods as a check on one another, to see if these different methods with their different strengths and limitations all support a single conclusion (Maxwell, 2013:102). In this study, the following methods were all used in triangulation, comparing the normative literature to the empirical reality: a literature study, a multiple-case design, semi-structured interviews, and focus groups. Using these different methods lessens the risk of the researcher’s conclusions from being biased to only one method. This process is also referred to as inherent validity or rigour.

Maree and Van der Westhuizen (2007:40-41) suggest that in qualitative research the term “*crystallisation*” should be used instead of triangulation, because instead of just referring to multiple methods, it suggests a better lens through which to view the components in research, referring to multidimensional or different angles of approach, and complexity.

The researcher aimed for a high level of inherent validity and rigour by not settling for a single case study, but including five case studies and employing various methods. “Crystallisation” is reached by extending the inquiry to other relevant role players besides the case study NPOs by interviewing representatives from the Private and Public Sectors for a multi-perspective analysis.

Kumar (2014:218 - 219) cites Guba and Lincoln (1994) and Trochim and Donnelly (2007:149) who suggested that the quality of an inquiry is judged by its trustworthiness and authenticity. Guba and Lincoln (1994) identified four determining indicators according to the quantitative paradigm (internal validity, external validity, reliability and objectivity). Trochim and Donnelly (2007:149) developed similar and related indicators for the qualitative paradigm namely credibility, transferability, dependability and confirmability.

- **Credibility** is gained by the extent of the agreement and approval of the participants in the research with the findings of the study. This can be done after the fact when the study is completed by discussing the results with the different NPOs and representatives of the Private and Public Sectors who participated, to ascertain if they agree to the credibility of the study that it in fact accurately reflects their context and opinions.
- **Transferability** refers to the degree to which the results of qualitative research can be generalised or transferred to other contexts or settings. It is very difficult to establish, but can be achieved to some extent if the researcher extensively and thoroughly described the process that was used, so it can be followed and replicated by others. The researcher described the research design, methods, gathering of information, evaluation and conclusion thoroughly so that the study has the possibility of being replicated in other towns or provinces in order to benefit the NPO Sector and contribute to the research field.
- **Dependability** is similar to reliability in quantitative research in ascertaining whether the same results could be obtained if the same phenomenon could be observed twice. Again, this is difficult to establish unless an extensive and detailed record of the process is kept for

others to replicate. The researcher strived to create a dependable study and kept detailed record of the research process.

- **Confirmability** refers to the degree the result could be confirmed or corroborated by others and is only possible if the researcher follows the process in an identical manner for the results to be compared. It is hoped that the process was described in a detailed enough manner to be able to repeat the study and confirm it.

Although qualitative studies at Masters' degree level do not usually seek generalisation and replication, the researcher hopes to complete the study with these factors in mind. The generalisation and replication of this study on a bigger scale, for example provincial or national, could benefit the NPO Sector, as well as contribute to the research field of communication for development and social change.

## **3.6 Challenges experienced**

### **3.6.1 Semi-structured interviews**

The empirical process experienced a delay as it was a challenge to get in contact and confirm interviews with the representatives from the local Government. The researcher planned for 60 minutes interviews with all the participants, but some had to be extended to 90 and even 120 minutes in order to gather the necessary information from individuals who would either digress from answering the specific questions, or went into too much detail.

The wording of the questions may have been too complicated for some participants and the specific reference to projects in the questions confused some participants, because they do not necessarily see their work as projects which start and finish, but as continuous. In these cases, the researcher repeated the questions in plainer language and spent time in elaborating on what was meant by specific terms and gave examples in order for the participants to understand and answer the questions.

### **3.6.2 Focus groups**

The researcher learned through experience with the first focus group interview that it was better to do the interview with the manager first, and then to follow with the focus group, otherwise the manager takes over the focus group and limited the participation from other members.

Two focus groups may not have been prepared or informed by their managers before the researcher arrived and this meant it took some time for the participants to warm up to the researcher and be at ease in the discussion. It seemed that language and educational background could have been a barrier for some of the participants to understand the questions or to communicate their answers, and the quality of information therefore lacked a little. Fortunately, in one focus group the manager translated questions and explained in Setswana. In the other the manager was not present and the researcher spent time repeating the questions in plainer language and elaborating on what was meant by specific terms and gave examples in order for the participants to understand and answer the questions.

In the combined focus group with all five of the NPOs, one NPO did not attend. Since participation was voluntary, the researcher could not force them to participate. The four NPOs still provided a large enough group of seven participants for meaningful discussion and gathering of the necessary information.

### **3.7 Ethical considerations**

The research proposal for this study was subjected to a university ethical clearance process, prior to commencement of the research. The following aspects are ethical considerations to keep in mind regarding the rights of participants in the study: voluntary participation, informed consent, privacy with respect to confidentiality and anonymity, as well as participant harm. Participants should be free to withdraw at any time they feel they are at risk (Gorman & Clayton, 2005:43-44; Fox & Bayat, 2013:148). Kumar (2014:284) also suggests that the researcher should justify the relevance and usefulness of the proposed research before wasting respondents' time.

The participants representing the different case studies in this study are not especially vulnerable (in terms of physical, psychological, or emotional needs, and all are adults) and their participation would not harm them. They were at minimum risk and the discomfort they experienced is not greater than ordinarily encountered in daily life. To keep discomfort to a minimum and keep the setting naturalistic, respondents were interviewed at their places of work and the focus group interviews were held at one of the NPO offices, which did not entail extensive travelling for the participants. No personal or sensitive information for example regarding sexual behaviour, drug abuse, marital status, age, income etc. were collected.

Confidentiality was maintained by keeping the information about participants and information collected from them private, and only using it for the purpose of the research. Participants could remain anonymous in the reporting if they so preferred.

This research is not funded by a specific organisation in order to gain any benefit from the research, or to misuse or influence the methodology or findings.

Although in qualitative research the researcher cannot escape subjectivity, the researcher plans to avoid bias by using multiple research methods, keeping detailed records of the research process, and in behaving ethically in not deliberately hiding information found in the study, or highlighting something disproportionately to its true existence (Kumar, 2014:286-287).

### **3.8 Conclusion**

This chapter indicated why qualitative research is ideally suited to this explorative naturalistic study and discussed the research design and the specific methods employed in order to answer the general research question *“How can participatory communication be used as an empowering process for local NPOs in becoming agents of social change?”* The nature and design of the study was indicated as a qualitative, multi-case study and the empirical research methods included a literature study, semi-structured interviews and focus groups. Reliability, validity, triangulation, challenges experienced, as well as ethical considerations were also discussed. The next chapter, Chapter 4, will discuss and interpret the research findings after the fieldwork was completed.

## **CHAPTER 4: ANALYSIS AND INTERPRETATION OF FINDINGS**

### **4.1 INTRODUCTION**

This chapter discusses the research findings after the empirical fieldwork was completed according to the research methods described in Chapter 3, namely semi-structured interviews and focus group discussions, and uses the theory presented in Chapter 2 as basis for the summary of the findings. The theory and literature review regarding the participatory approach to communication for development and social change, indicated the following core principles or concepts: dialogue; participation; cultural diversity; and empowerment (refer to Chapter 2, Section 2.2.5.3).

This chapter intends to answer the third to fifth specific research questions, as posed in the first chapter:

- 3) *According to the NPOs, how are their organisations being empowered?*
- 4) *How does the Private Sector view the empowerment process of local NPOs?*
- 5) *How does the Public Sector view the empowerment process of local NPOs?*

Using the guiding arguments derived from the literature study (refer to Chapter 2, point 2.2.5.3.1 through to 2.2.5.3.4 where it is set out and discussed in detail) the discussions below report the results gathered from each NPO case study according to the above mentioned core principles and their constructs, in order to answer the third specific research question.

### **4.2 RESULTS FROM THE NPOS**

The Managers, as representatives of each of the five case study NPOs were interviewed in a semi-structured way. Focus group discussions per NPOs, as well as a collective focus group discussion were also conducted to gather information (refer to Chapter 3 Section 3.6.1 and Section 3.6.2 where semi-structured interviews and focus group discussions are discussed as research methods). The exception to the above was Ikageng Day Care Centre for the Aged, which consists of an individual, resulting in the limitation that a focus group discussion could not be conducted, and information could therefore only be gathered from the semi-structured interview with her.

After every concept (dialogue; participation; cultural diversity; and empowerment) and its constructs have been discussed per NPO, a comparison between the five different NPOs is made.

## 4.2.1 Dialogue

The constructs for dialogue were identified as two-way horizontal communication; shared meaning/context; interpersonal communication; conscientisation and praxis; and mutual trust and respect (refer to Table 2 under Section 3.3.2 in Chapter 3 for a detailed list of the constructs).

### 4.2.1.1 Dialogue: Ikageng Day Care Centre for the Aged

Susan Luthuli runs this NPO single-handedly. She however indicated that she has a committee which meets monthly, consisting of her beneficiaries and a few community volunteers, to help decide on the projects and fundraising. She also mentioned that she collaborates with four other similar NPOs for the elderly whom together formed a forum, which meets quarterly. The results will hereafter refer to the Elderly Forum in reference to this group.

#### a) *Two-way, horizontal communication*

Luthuli shared that community members served on the NPO's Committee voluntarily and were very willing to communicate with her and with each other. She gave detailed descriptions and examples of how she and her Committee as well as the Elderly Forum communicated, especially during meetings, and how and what they discussed when, for example, planning events like outings for the elderly. She described that members would offer suggestions and then receive feedback or counter suggestions and that they would plan and act according to what they agreed upon. She also described how she would first inquire from volunteers if they had the capacity to serve on the Committee beforehand, so that they should not be "overburdened" and that she would regularly check in with these volunteers and described how they responded (Luthuli, 2015).

Luthuli mentioned examples of community members who would visit her regularly and ask for advice; and nursing and social work students from the North-West University (NWU) who would visit her centre to complete practical hours. Luthuli explained that their lecturers would first ask if the students would be welcome and she then elaborated on how she and the lecturers discussed the matter by asking questions and listening, explaining and qualifying the expectations of both parties before deciding on the matter together.

Luthuli's description of communication with the Private Sector and the Public Sector indicated that it happened by request via telephone calls or letters written by her and the Committee or Elderly Forum to these Sectors. Although she indicated that she has a good relationship with

Private Sector donors and the Municipality and DSD, she mentioned that she would never disagree with donors, because the NPO was desperate for the resources donors could offer. Luthuli said that she often either did not receive any feedback from the Government on her requests for meetings, or that Government representatives said that they would get back to her, but then not do so. Luthuli revealed that she was honoured by the President of South Africa in 2010 for her service to the community and proudly showed the honorary certificate she received to that effect, but then shared:

*“and then he came back in 2013 but nobody gave me an information what I hear he was, they were shouting for me and nobody came and said listen, the President is here to come and see you and come and see whether you are still in good relation”* (Luthuli, 2015).

Although a Presidential honouring is an isolated event, in her more average dealings with the Government she reported that she often either did not receive any feedback from the Government on her requests for meetings, or that Government representatives said that they would get back to her, but then not do so. This does not indicate horizontal two-way communication. It was in stark contrast with her experience with churches who stayed committed to what they promised:

*“People who respond very good are European churches and when they make a promise with you they don’t break it easily. They don’t break it easily, not until you say to them I’m tired I can’t go on with you”* (Luthuli, 2015).

The results gathered from the interview indicate that communication between the NPO’s Committee members, Elderly Forum and university lecturers takes place on an equal and horizontal basis as descriptions suggested that the individuals would take turns speaking and giving suggestions or asking questions, and then receive feedback. This however was not the case with the Private and Public Sector as Luthuli’s descriptions indicated that parties did not have an equal opportunity to engage in speaking and listening. The NPO had to ask to be engaged with in their letters to Government for instance, and was often denied or left hanging. This indicates that dialogue takes place only if the Public and Private Sectors allow it.

*b) Shared meaning/context*

Luthuli gave examples of what and how the Committee members would discuss and plan for an event. She illustrated in detail how they would, for example, decide on meals and in what order it would be planned and executed, or how the Elderly Forum would decide who to approach for funding, write letters to these potential donors, and then share whatever funding they received. She also explained that the forum is formed from different NPOs all focusing on caring for elderly people, and mentioned that they get together so they can support each other and “should know when one is suffering, what are your needs” (Luthuli, 2015). She also mentioned

that most of the Committee members were elderly beneficiaries themselves, or the children of elderly beneficiaries, which indicates they have a vested interest in the NPO because their parents received care.

The above suggests that the Committee and Forum members have a common goal in caring for the elderly, and their shared experiences and working together to secure funding affirms a shared meaning and context in their communication with each other. The members' willingness to communicate and participate, points towards trust between the members.

The letters that Luthuli and her Committee, and Elderly Forum members wrote to the Private and Public Sectors suggest that the NPO(s) try to share their context with these potential donors and create shared meaning with them. This does however not necessarily lead to a shared meaning or context, because the potential donors need also to engage from their side and get involved with the NPO.

c) *Interpersonal communication*

From Luthuli's descriptions in the interview it seems that most of the Committee and Forum's interaction were conducted interpersonal and face-to-face during meetings and that members willingly engaged in communication in a horizontal way by speaking and listening as the different members offered their ideas and gave each other feedback, which seemed to be welcomed.

She mentioned that the Committee and Forum would also write letters to potential donors like the Government, or contact them telephonically to request interpersonal meetings. Luthuli said that she often either did not receive any feedback from the Government on her requests for meetings, or that Government representatives said that they would get back to her, but then not do so.

As discussed under a) above, the results gathered from the interview indicate that communication between the NPO's committee members, forum and university lecturers takes place on an equal and horizontal basis as descriptions suggested that the individuals would take turns speaking and giving suggestions or asking questions, and then receive feedback. This however was not the case with the Private and Public Sectors as parties did not have an equal opportunity to engage in speaking and listening. The NPO had to ask to be engaged with in their letters to Government for instance, and waited for feedback from Government or donors, often without success.

d) *Conscientisation and praxis*

Luthuli indicated there is a willingness to engage amongst the Committee and Forum members and described how their discussions, led to the reflection on and identifying of needs of the elderly and the specific NGOs caring for them:

*"We communicate through meetings and then we have functions that we hold together after deciding what is there that we must do?" and "We should know when one is suffering, what are your needs" (Luthuli, 2015).*

She described systematically and in detail how the Committee and Forum decided on matters and then took action in the execution of their planning which they did together e.g. in planning an outing for the elderly: where they would go; how they would get there; what they would need, what they would eat, which options would be better, where they would get funding and, who would be responsible for what.

The fact that the Committee and Forum members engaged in meetings, as well as the above descriptions, indicates that they reflected collectively over their situation and did not make decisions on their own, but as a group, and shows that their discussions resulted in actions being taken. These descriptions point to conscientisation and praxis being present. The same was not indicated in communication with the Private and Public Sectors, as the parties did not engage in such a collective or reflective way. The Private and Public Sectors simply responded to the requests of the NPO by providing what was asked (or in some cases did not respond).

e) *Mutual trust and respect*

As also discussed under point a) above, Luthuli indicated that she has very good relationships with the community who regularly seek her advice and guidance, and with most of her donors whom she described as long-term, regular supporters of the NPO, most committing to five years of continuous support or even more. She also described her relationship with Government as good, since the President of South Africa had honoured her in 2010, and she had received some donations from, and had polite meetings with, the Municipality. She however also indicated that the Government often did not provide feedback when approached with requests, and that the DSD had not supported her at all through the duration of her NPO's existence – even though she had registered with them. Though they are part of the Civil Sector, Luthuli highlighted the relationships with and trustworthiness of churches, especially overseas churches, as donors as opposed to the other Sectors ... "they don't break a promise easily" and "they try to upgrade you" (Luthuli, 2015).

Because Luthuli indicated the relationships with stakeholders as "very good", polite and long-term it would seem there is mutual respect between the parties, but not necessarily trust, as she could not always rely on the Government for dialogue, feedback or funding. Her having to

request interaction and having to wait for response, sometimes to no avail, indicates the unequal nature of the communication between her and the Private and Public Sector.

It does appear that there is mutual trust and respect between the members of the NPO's Committee and Forum, because Luthuli's descriptions indicated their willingness and openness to communicate in a horizontal and equal way, to make decisions collectively and that they had a shared context.

*Summary:* The information gathered from the interview suggests that all the constructs of dialogue, namely two-way horizontal communication; shared meaning/context; interpersonal communication; conscientisation and praxis; and mutual trust and respect are present in the communication amongst the NPO's Committee and Forum members. The interview however, revealed that this is not the case in communication with the Private and Public Sector, as communication was not horizontal or on equal terms, often not interpersonal, and did not necessarily lead to a shared meaning or trust. The NPO also did not engage in conscientisation and praxis with these Sectors.

#### **4.2.1.2 Dialogue: Mosaic**

##### *a) Two-way, horizontal communication*

In the interview, Louise Conradie (2015) mentioned and described the various meetings, which Mosaic engaged in, on a weekly basis, as well as the other channels like WhatsApp, email and social media, which the NPO uses to communicate. She described the general meeting where the whole NPO, including its management, volunteers and staff from the for-profit business sections are present as a "motivational opening" also used for "general announcements", and she described weekly training sessions for the staff. Conradie described the volunteer meetings as "discussion" between management and volunteers enquiring about the volunteer's work and wellbeing, while the management meeting was described as "conversation" between Managers. She indicated that the Managers informed each other, identified needs together, figured out how they could support each other, and engaged in "brainstorming" about issues.

The interviewee reported that the NPO did not involve or communicate with the surrounding community from the start, but they have since recognized this as "a mistake" and have started engaging in individual conversations with community leaders. The NPO plans to create a Community Advisory Board from these leaders in order to gain buy-in from the community and to provide advice to the NPO's management.

Conradie described the relationship with the Private Sector as good, and that their relationship with international Private Sector donors was the most valuable in terms of money and volunteers. The NPO's relationship with the Public Sector was described as "non-existent". Mosaic had tried to initiate dialogue with the DSD on numerous occasions, but was ignored. Although she described the NPO's relationship with the Municipality as good, it did not result in the desired outcome:

*"So we have some good relevant contacts over there, but because they always take the request to at least four different meetings, it always gets stuck somewhere. It doesn't help that we have a good relationship with the person who is at the head of property, because he needs to take it to the Property Committee, and then they need to take it to the Mayoral Committee, and it always gets stuck somewhere."*

This seems to indicate a one-sided engagement and that the communication cannot take place on equal terms with the Municipality.

The focus group also referred to meetings and described interactions similarly to the information gathered from the interview. Meyer Conradie described these interactions as "internal communication" and mentioned different management levels (Board of Directors, top management, mid management) that communicated with each other and described the different line management to the different volunteers and/or staff. From the focus group's descriptions, the line Managers and their responsible staff had direct two-way communication with each other. However, it appeared that communication from management to the larger groups was mostly one-way information sharing or training sessions and he mentioned that the NPO would sometimes get external trainers in for this purpose. The focus group also reported that Lance Chauke, the Setswana- and English-speaking member of management, was a link between the English-speaking management and the Setswana-speaking staff and beneficiaries:

*"I step in to understand some of their concerns and then to convey them to management, and then convey some information from management to them so that we are on the same page. So that they understand the direction that the organisation has to take. And also listening maybe to their concerns" (Chauke, 2015).*

*"Ja, Lance is like a bridge. Uhm, he's part of the management team but he's a Tswana speaker like most of our employees, so he just makes sure that everyone is understood and heard at all times." (Conradie, L., 2015).*

From the above descriptions in the interview and focus group, it would seem that the meetings and training sessions with staff and beneficiaries focus on the sharing of information, and words used by the participants like "opening" and "general announcements" supports this notion. This could suggest a leaning towards one-directional communication as the information flows from management to the rest of the NPO's staff, volunteers and beneficiaries, and does not suggest dialogue in a two-way horizontal manner. The words used to describe the management

meetings, “discussion” and “conversation”, on the other hand, as well as the mention of identifying of needs and brainstorming, suggest two-way horizontal communication and an equal right and opportunity to engage in speaking and listening. The results therefore suggest that the NPO management seem to engage in two-way horizontal communication amongst themselves, but not necessarily with the employees and beneficiaries, implying that the employees and beneficiaries do not have the same equal right to engage in dialogue through speaking and listening like the management members do.

b) *Shared meaning/context*

In the interview L. Conradie indicated that the purpose of Mosaic’s various meetings was to motivate and inform the different stakeholders about plans and, about what was going on at the NPO at a given time. She mentioned that they engaged in conversations in order to “see where we can help each other, where we can support each other.” This suggests the creation of a shared context of meaning between the NPO and its stakeholders, as they engage in order to understand each other’s situation.

In the focus group, it was mentioned that the purpose of meetings with the staff and by using the various chat groups on Whatsapp, was to include people and to “get everyone on the same page” so that they could “share in joys, share in frustrations”.

*“I think what is key for all of us, is to be on the same page in terms of our vision, what our end goal is. We as a management team always remind ourselves, this is our end goal, this is why we are here, and that’s why we can trust each other. The same goes for the volunteers, the same goes for the staff and the same goes for our beneficiaries. Everyone is always reminded, what’s the main vision, what are we working towards, and everyone buys into that. Everyone has a passion for that and that’s why they are here and whether it’s donors, employees, beneficiaries, everyone buys into the vision” (Conradie, L, 2015).*

From this information, it would seem that, like in the guiding argument and constructs derived from literature (see text boxes 2.1 and 3.2), Mosaic intentionally tries to create a shared meaning and context amongst its members through dialogue, in order to understand each other, work towards a shared goal and vision, and in this way increase trust amongst its members.

c) *Interpersonal communication*

In the interview with L. Conradie, she shared that Mosaic not only engages in frequent face-to-face interpersonal communication through weekly meetings with their Managers, staff, volunteers and beneficiaries, but also extensively and actively uses technology like Whatsapp chat groups on cell phones, and email to facilitate dialogue.

The focus group discussion confirmed everything that L. Conradie, shared in the interview by again mentioning the meetings, as well as the various chat groups on Whatsapp for the

Managers, the Board members and the volunteers. The focus group added that communication with the staff and beneficiaries is predominantly verbal, as not all the beneficiaries have access to technology and a number of them are illiterate. As indicated in point a) above, dialectic, two-way horizontal communication took place between the members of management, but the communication with the rest of the staff and volunteers seemed to have a more one-way direction of sharing information with them.

The focus group also revealed that Mosaic annually engages in face-to-face dialogue with its board and donors by personal appointments and even stakeholders abroad are visited annually. M. Conradie mentioned that in Mosaic's external communication with donors, interpersonal communication was crucial, to share information face-to-face with the board and donors and not just via a newsletter for example. The focus group mentioned that they tried communicating with Government in person "because they don't read e-mails or respond to it ever". It would seem that the NPO successfully engage in interpersonal communication with its own members, beneficiaries and Private Sector, but had less success in engaging with the Public Sector, because it seemed to be a one-sided engagement.

d) *Conscientisation and praxis*

In the interview, L. Conradie mentioned that Mosaic goes through a process of "trial and error" and that their projects and development approach are constantly evolving. She explained that in management meetings, they would identify needs, and then plan how to meet said needs:

*"We bounce it with the other team members, and through discussions and brain storming that idea usually starts to take shape, and we always bring them back to our main vision and mission".*

In the focus group, the management and some volunteer meetings were also described as the identifying needs and brainstorming about ways to address the needs. Then the appropriate action would follow from the discussion and planning. They confirmed that their operations did not entail projects with a beginning and an end, but that these projects were ongoing and continually developing.

It therefore appears that the process of continuous collective reflection that leads to action and more reflection, known as conscientisation and praxis, is present in Mosaic's communication when they regularly brainstorm about approaches that are changing and evolving over time.

e) *Mutual trust and respect*

In the interview, L. Conradie called Mosaic's relationship with DSD "non-existing". The interview and the focus group also revealed that although Mosaic makes an effort to engage with the Tlokwe City Council Municipality and the DSD personally, to keep them informed of Mosaic's operations, it seems their efforts are not rewarded and feedback is not forthcoming from the Government's side. In both discussions, Mosaic indicated that they have to approach the Public Sector entities personally, because it does not receive response on emails or phone calls to them. In the interview, L. Conradie indicated that NPO felt ignored, but that they could not give up on pursuing a relationship with the Municipality or the DSD, because the NPO was dependent on them for land to build on, and specific statutory social services respectively.

L. Conradie indicated Mosaic has a very good relationship with the North-West University and regularly consults with the University about Mosaic's needs or challenges, and receives advice or referrals, which suggests trust and mutual respect between the parties.

In the focus group, it was emphasized that trust and a shared vision were very important in the way Mosaic operates and that the NPO's members (Managers, volunteers, staff, beneficiaries) rely on (in other words trust) each other to do what they say they will do.

The literature states that dialogue takes place in a setting of mutual trust and respect between participants (see text boxes 2.1 and 3.2), therefore, the lack of relationship and dialogue between Mosaic and the Public Sector also indicates a lack of trust and respect between these parties.

*Summary:* The information gathered suggests that all the constructs of dialogue, namely two-way horizontal communication; shared meaning/context; interpersonal communication; conscientisation and praxis; and mutual trust and respect are present in Mosaic's internal communication amongst their management teams and, to a lesser extent, with their staff and donors. Although the NPO communicated regularly and focused on creating shared meaning, it would seem that two-way horizontal communication, conscientisation and praxis were limited with their staff and donors.

Communication with the immediate local community from where Mosaic operates, or the Municipality and DSD, is a challenge. The NPO indicated that it did not involve the surrounding community in their operations at all, that their relationship with the Public Sector was almost "non-existent". The results showed that engagement with the Public Sector (excluding the NWU) did not happen on equal terms, occurred on requests from the NPO, and dialogue could not be engaged in, as the Public Sector did not respond or give feedback.

#### 4.2.1.3 Dialogue: NG Welsyn

##### a) *Two-way, horizontal communication*

In the interview, Retha Erasmus (2015), one of the social workers of NG Welsyn, indicated that the nature of their work as social workers entailed seeing clients (beneficiaries) on an individual, face-to-face basis by appointments, and occasionally as groups of beneficiaries in workshops. Besides using e-mail, the staff members engage in weekly meetings and informal face-to-face discussions, giving feedback on cases and the planning and execution of the various fundraising projects and awareness campaigns that either the NG Welsyn head office or DSD expected from them. Erasmus (2015) mentioned "chatting in the hallways" and staff members giving each other feedback and asking for input and opinions from each other.

Erasmus described communication with the community and Private Sector as predominantly one way as the NPO places information in the media "hoping they see us", but then also mention specific contacts in the Chamber of Commerce, media and donors with whom they had built a relationship and engaged in dialogue with. She mentioned "liaison" with the DSD, but the NPO by law is compelled by the DSD to engage with it on the DSDs terms. She indicated that there had been no contact with the Municipality and very little with the University.

The contact with the NG Welsyn Head Office, i.e. inspection visits from the District Manager was described as "more social and less rigid", and Erasmus confirmed that they were given the opportunity to "talk, discuss, explain, ask questions and share ideas".

The focus group participants indicated that they discussed projects, performed a needs analysis and set goals in their weekly staff meetings. The participants confirmed that they relied on Erasmus for direction, but that they worked as a team and used what they called a "participatory management" approach, which they explained as that everyone's input was valuable, necessary, and that they decided on things together. This seems to indicate two-way horizontal communication between the team members, as the description of their communication points to equal opportunity for the members to engage in dialogue, speaking and listening.

The participants also indicated that they received a monthly monitoring and evaluation visit from DSD in which they discussed reports, statistics and challenges with the DSD representative. They also communicated telephonically with the NG Welsyn Head Office and indicated an "open door policy" which meant that they were free to engage unreservedly in dialogue with the Head Office when they needed anything.

Referring to the definition of two-way horizontal communication in literature (see text boxes 2.1 and 3.2) the internal communication between staff members seems to indicate two-way

horizontal communication, as they took turns to speak and listen to each other in meetings and settings that are more informal. The communication with the DSD however did not seem to indicate dialogue as there was no equal right or opportunity to engage, and it was dictated by the DSD's terms. Communication with the Head Office and District Manager suggested an equal opportunity to engage in horizontal communication.

*b) Shared meaning/context*

In the interview, Erasmus indicated that the NPO staff did not only communicate in formal meetings, but also had many informal discussions. When one member had information that affected the other members, they would share it via e-mail or verbally. She also illustrated how they would engage in problem-solving sessions with each other where they would give opinions or suggestions to problems when a staff member asked others for advice.

The focus group reported that they gave each other feedback during meetings and in their informal discussions. They indicated that they communicated and related to each other very comfortably and this was illustrated when one participant affectionately said "our little team" and everyone laughed in agreement. They also conveyed that they enjoyed knowing what was happening with staff at the different branches through the monthly internal newsletter.

The information shared suggests that members took time to learn about each other's backgrounds, or context in which they operated, to find shared meaning or solutions for problems. Their openness in asking for feedback or advice, and affection for each other denotes trust and a willingness to participate amongst the members. This agrees with the literature (see text boxes 2.1 and 3.2) that the intention of dialogue is to ideally, create a shared meaning and context between the NPO and its stakeholders, which should increase trust and participation.

This was contrasted with the way the NPO reacted to the DSD. Erasmus shared in the interview that she felt her "nails want to come out" when she hears of DSD meetings they are expected to attend, because usually the NPO's work load, schedules, or their personal family lives are not taken into consideration. She described an example of being expected to attend DSD meetings at very short notice, travelling far over a weekend.

*c) Interpersonal communication*

In the interview, Erasmus indicated that the nature of their work, as social workers, entailed seeing clients (beneficiaries) on an individual, face-to-face basis by appointment, and occasionally as groups of beneficiaries in workshops. Besides using e-mail, the staff members engage in weekly meetings and informal face-to-face discussions and give feedback on cases,

planning, execution of the various fundraising projects and awareness campaigns that either the NG Welsyn head office or DSD expected from them.

In the focus group, participants mentioned that they use e-mail, social media and newsletters but they mostly communicated interpersonally in meetings or directly with each other, their clients, donors and the DSD. The results therefore indicate that the NPO engages in regular interpersonal communication amongst themselves and the Private and Public Sector.

d) *Conscientisation and praxis*

In the interview, Erasmus reported that the four staff members decide on how to approach projects as a team. Every team member has their defined role and tasks on which they give feedback to each other informally, during the course of the day, and formally in their meetings. She also indicated that they not only engaged in needs analysis and problem-solving when planning projects, but also evaluated projects after the fact, to adapt their planning and execution for the next year when a project is repeated. The focus group participants also indicated that they did a needs analysis for every project and would determine how they would approach it and which donors and audiences they would target.

The information shared seems to suggest some level of conscientisation and praxis, as the members reviewed their situation or needs, planned to solve problems accordingly and, after execution, also evaluated their plans before taking action again. However, the descriptions shared in the interview and focus group only indicate this engagement internally amongst the staff, and not with all their stakeholders.

e) *Mutual trust and respect*

Erasmus mentioned in the interview that the NPO's communication approach with Private Sector donors is a formal written proposal followed up with personal appointments. She added that the NPO has a good relationship with a few long-standing donors and members of the Potch-Tlokwe Chamber of Commerce who provide advice, referrals and resources. This could point to mutual trust between the parties. During the interview, she also indicated that their newest member and social worker regularly had meetings with her, and that Erasmus took on an overseeing or mentorship role to confirm to her that her work and approach was on the right track. The interview indicated that Erasmus is not the branch's appointed Manager and that they work on a horizontal level in the office. This appears to suggest a relationship of trust and respect between the members.

The focus group mentioned that the NG Welsyn Head Office has an "open door policy" and that they could contact the Head Office any time for advice or approval. This accessibility points to

mutual trust and respect between the parties, as they could engage in dialogue as equal partners.

Both the interview and focus group discussion suggested that the NPO experienced some frustration with how communication took place between themselves and the DSD. It was described that communication came down to DSD sharing information and expectations with the NPO and, the NPO delivering compulsory monthly formal reports and statistics to the DSD. The frustration seemed to occur with unrealistic expectations from the DSD with short-notice communication, for example directives came through on a Friday instructing them to travel on the Sunday to attend a week's meetings in another town. Erasmus mentioned that they always wondered what "surprise" they would get from the DSD when they received a message to contact them. This suggests communication is top-down, not horizontal, does not take place voluntarily, and that could point to a lack of trust between the NPO and the DSD.

*Summary:* The information gathered in the interview and focus group discussion suggests that all the constructs of dialogue, namely two-way horizontal communication; shared meaning/context; interpersonal communication; conscientisation and praxis; and mutual trust and respect are present in the internal communication amongst the NPO members, but were lacking with the Private and Public Sectors. This suggests that the NPO successfully engages in dialogue internally, but is less successful in engaging in dialogue with the Private and Public Sectors. Especially with the DSD, the results seem to suggest that communication is top-down, not horizontal, does not take place voluntarily, and it could point to a lack of trust between the NPO and the DSD.

#### **4.2.1.4 Dialogue: Thakaneng Project**

##### *a) Two-way, horizontal communication*

The interview with Meschack Seemelo, one of two Managers of the Thakaneng Project, indicated that communication to its board of directors consisting of eight professional individuals happens formally via quarterly meetings. He indicated that the Board of Directors did the planning and made decisions on behalf of the NPO and that the Managers then implemented it with the staff and volunteers. He also confirmed that meetings with the NPO's staff and volunteers occurred on a monthly basis, or as the need for emergency meetings arises, and this would be reported back to the Board. He mentioned that each staff member would meet with the supervisor in the office every morning to discuss their tasks for the day, and that the NPO's

staff members had to ensure compliance with everything required from the DSD who subsidises the NPO.

Seemelo indicated in the interview that the NPO is passionate about the relationships they build with their beneficiaries, the children, and that it is of utmost importance to the Managers, that staff and volunteers are focused to engage in one-on-one dialogue with the children, speaking and listening to them. The NPO also has occasional meetings with the boys as a group and have a Suggestion Box where they can give anonymous feedback. One child is also chosen to represent the children on the Board and he is required to attend the Board Meetings as well (Seemelo, 2015).

The focus group indicated that they discussed the behaviour of the children, the day-to-day running of the shelter, and school problems with each other. They also discussed the same matters with Management during monthly staff meetings. The members, predominantly caregivers, indicated that they interacted with each other, the children and two German volunteers, while only the Managers interacted directly with DSD and other visitors. This seems to indicate that the members engaged in two-way horizontal communication with each other, but that there was no communication between them and the Private or Public Sectors.

Seemelo's description could indicate that communication is more one-way, top-down from the Board to the Management to the Staff, and not horizontal and two-way as the ideal dialogue should be according to literature.

*b) Shared meaning/context*

During the interview, when asked about the communication and teamwork of the NPO's staff members, Seemelo indicated that they were passionate about caring for the beneficiaries, but mentioned that the staff members do not all get along with and have some trust issues with each other. He shared that, when he could not resolve staff tension through meetings, he would request local pastors to intervene, and counsel the group and pray for them.

The focus group members' descriptions of their daily tasks indicated a shared context of experience in minding the children, but they did hint that they did not always agree with each other on how strictly they treated the children and this caused tension. They also expressed concern about not sharing the same meaning/context with the children with regards to school work and were struggling to help the children, as very few of the participants had themselves finished school.

This seems to indicate that although the NPO members work in the same environment and circumstances, there is not always a shared meaning or context and they may need to engage

in more dialogue in order to understand each other's context better and increase trust amongst the members.

c) *Interpersonal communication*

In the interview, Seemelo indicated that the Managers and Board Members use e-mail and Whatsapp chat groups on cell phones to communicate with the NPO's German volunteers, but only interpersonal verbal communication with their staff in the form of monthly meetings. He mentioned that each staff member would see the supervisor in the office every morning to discuss their tasks for the day, in order to ensure compliance with everything that is required from the DSD who subsidises the NPO. This does however not necessarily suggest two-way horizontal communication, as it seems instruction could be communicated in a top-down manner. His approach to communication with donors is to use written proposals, letters and information pamphlets, and therefore no face-to-face interpersonal engagement. He indicated that he engages in frequent face-to-face interpersonal dialogue with the NPO's specifically allocated DSD representative.

The focus group reported that amongst each other they communicated face-to-face and interpersonally and they confirmed that they have a formal monthly staff meeting. When the staff were discussing their greatest needs, a participant specifically identified the need for better communication amongst each other and working together on a task.

The results seem to suggest that there is insufficient engagement in interpersonal, two-way communication between the NPO members themselves and between them and Management. The need expressed by staff indicates that a monthly meeting is not enough. The interview shows that Seemelo successfully interacts with the Public Sector, but less so with the Private Sector, as he does not engage interpersonally and limits communication to written material only.

d) *Conscientisation and praxis*

In the interview, Seemelo indicated that the Managers and Staff would identify needs, Staff would discuss the behaviour of the children, the day-to-day running of the shelter and school problems with each other as well as possible strategies to handle the needs or gain funding. This information would be forwarded to the Board members for discussion. From this process, the different roles and jobs would be delegated to staff members. He mentioned that when the NPO experiences a crisis, for example food and clothing supplies running low, he would get the Staff together, discuss possible solutions, and decide how to gain extra funding.

In the focus group the participants also indicated that Staff would discuss the behaviour of the children, the day-to-day running of the shelter and school problems with each other during the day and during the monthly meetings.

The results from the interview especially, seem to indicate some level of conscientisation and praxis as the NPO reflects on its needs, and action is then taken to address it. It does however appear to be insufficient, as only in crisis situations do all the staff members engage in this way. The focus group participants indicated various needs which were still to be addressed in a problem-solving way, for example needing more staff; more support and help from each other; the need for better communication with each other; and more time to complete their work; and Staff needing regular counselling or debriefing as the work wore them down emotionally.

e) *Mutual trust and respect*

During the interview, Seemelo indicated a very good relationship with the DSD from whom they receive funding, support, advice and “motivation” since 1995, besides being evaluated and monitored by them. His positive attitude towards the DSD representative, their long-standing relationship and frequent communication suggest the presence of trust and two-way horizontal communication between the parties. Seemelo also indicated that it was extremely important to build relationships and trust with the beneficiaries.

The focus group representatives however stated that the DSD representative only talks to the Manager and that they felt “stressed” whenever they were visited by the DSD for monitoring. When asked about communication with the Private and Public Sector the focus group also indicated that the Manager assumed that responsibility, and they were not involved. This could suggest that the Manager or the DSD representative lack trust in and/or respect for the Staff to include them in their communication.

A participant illustrated the need for communication amongst the staff members by saying that it would help if the night shift would write a report to the day shift before they leave, so they were informed of things that had happened and of the behaviour of the children for example, if children fought with each other during the previous shift. Another participant agreed and said that the caregivers needed to be on the same page with disciplining the children. This could indicate a lack of trust and a lack of two-way horizontal dialogue. It could also point to staff members having a different understanding or context even if they worked in the same circumstances.

The lack of communication between the Manager and the Staff was illustrated to the researcher by the fact that the Manager did not inform his Staff of the appointment for the focus group

(which was confirmed with him more than once by the researcher) and they were caught off guard when the researcher showed up.

*Summary:* The information gathered from the interview and focus group discussion suggests that not all the constructs of dialogue are present. Although the NPO did engage in interpersonal communication, communication between the Board, Management and Staff seemed top-down and one directional, instead of two-way and horizontal. The monthly meetings, as a communication opportunity seemed insufficient. There seemed to be a lack of trust and shared understanding between some of the NPO members. The results also pointed to a lack of trust and respect from the Manager towards the rest of the Staff. There seemed to be insufficient conscientisation and praxis amongst the NPO members, as most of the important decisions were made by the Board and then communicated to the Staff via the Manager. Communication between the Manager and the DSD appeared to be interpersonal, two-way and horizontal, and suggests trust between these parties. This was however not the case with the Private Sector as the Manager indicated he relied on written communication, which seemed to be one-way. Although the Manager explicitly mentioned interpersonal one-on-one dialogue with the beneficiaries, indication wasn't given that a shared meaning and context, conscientisation and praxis, or mutual trust and respect was necessarily present.

#### **4.2.1.5 Dialogue: Tshwaraganang Centre of People with Disabilities**

##### *a) Two-way, horizontal communication*

In his interview, the Manager, Coach Matlawe, shared that the NPO staff engages in interpersonal communication on a daily basis and hold weekly and monthly meetings. He indicated that they discussed tasks, resources and programmes and that he could not just impose his ideas as Manager, but that the Staff gave their opinions and discussed and decided everything together (Matlawe, 2015). The focus group also shared that they held regular meetings, communicated mostly about resources and that they would discuss events and tasks with each other.

In the interview, Matlawe mentioned that he has a regular slot on the local community radio station, Aganang FM, to raise awareness about the challenges people with disabilities face. During these programmes, community members can call in and ask for advice and Matlawe arranges experts to discuss different topics (Matlawe, 2015). This suggests that the community also has an opportunity to engage in horizontal two-way communication via community radio.

He also indicated that he is well connected with local Government and serves on various different forums and committees representing people with disabilities. This however does not necessarily mean that there is two-way horizontal dialogue between Tshwaraganang and the Public Sector, as the focus group participants revealed that the DSD representative who used to visit the Centre weekly “disappeared”, and that the NPO forum that the DSD initiated in order for NPOs to engage in dialogue with them, stopped as well.

In both the interview and focus group discussion, it seemed that dialogue with the Private Sector is a challenge as the NPO tries to initiate it with letters requesting assistance, but very few companies are supportive or respond to the letters at all.

The focus group participants conveyed that other stakeholders, who are a big challenge for them to communicate with, are the parents and families of the disabled. In the past the NPO has phoned and written to invite parents for meetings, but they do not show up and ignore the letters the Centre sends them.

The description of discussions and the sharing of ideas amongst the NPO staff seems to indicate the engagement in two-way horizontal dialogue with each other. The community radio station afforded the community the opportunity to engage in two-way horizontal communication with the NPO representative. However, the other instances described by the NPO, indicate a failure to engage in two-way horizontal communication with the other stakeholders, as the communication was one-sided from the NPO and ignored by the other parties like the parents and Private Sector.

*b) Shared meaning/context*

In the interview Matlawe emphasised that Tshwaraganang was a centre *of* and not *for* people with disabilities – explaining that the centre was run by Staff who also had some level of disability. They therefore understood and experienced the needs and challenges of their beneficiaries first-hand, unlike an “able bodied” person would (Matlawe, 2015). In the focus group, the members reiterated this statement and shared individually how most of them also had a disability. The results point to a shared meaning and context between the NPO members, amongst each other and with their beneficiaries, as they experienced and shared the same challenges and shared the same goal of representing and campaigning for the needs of disabled persons. This is a positive indication that the members trust each other and that dialogue is taking place between them and their beneficiaries as the literature (see text boxes 2.1 and 3.2) states that the intention of dialogue is to create a shared meaning and context between the NPO and its stakeholders, which should increase trust and participation.

c) *Interpersonal communication*

During the interview with Matlawe he mentioned that the six staff members engaged in interpersonal communication on a daily basis, as well as having formal working meetings on a weekly and monthly basis. He gave a detailed description of the Centre's daily programme which involved face-to-face interpersonal contact and interaction between the Staff and the beneficiaries. Matlawe however indicated that communication with donors was mostly via letters written by the NPO to request funding.

The focus group discussion also confirmed that staff members engaged in interpersonal face-to-face communication daily as they proceeded with their daily tasks of teaching and supporting their beneficiaries. They also held regular formal meetings with agendas and minutes, as well as "emergency" meetings when required. The focus group also reported writing letters to the Private Sector and churches, requesting donations and mentioned that they would use "the word on the street" as well to communicate to the community.

This means interpersonal communication largely takes place between the NPO members and their beneficiaries, but that they struggle to extend this to their other stakeholders.

d) *Conscientisation and praxis*

In the interview Matlawe indicated that members discussed tasks, resources and programmes and that he could not just impose his ideas as Manager on them, but that the Staff gave their opinions and discussed and decided everything together (Matlawe, 2015).

In the focus group, a participant described that when planning for NPO events they would create an organising committee which delegated tasks to each person, and would use "introspection" and evaluate afterwards if an event was successful. The mention of discussing needs and challenges before implementation of a programme or having an event, and then engaging in evaluation afterwards, could point to some level of conscientisation and praxis, but it did not indicate a strong problem-solving approach. The results also suggest that the NPO members only engaged in conscientisation and praxis with each other, but there was no interaction of this kind indicated with the Private or Public Sectors or the community.

e) *Mutual trust and respect*

In the interview, Matlawe added that every six months the NPO has a "general" meeting where the staff members discuss the status of the Centre and its challenges and needs. From their discussions during meetings, the members are delegated tasks and their planning is implemented. He mentioned that the NPO research and discuss projects or programmes and do

a needs analysis before they start implementation. He cannot just impose his ideas on the Staff. This could indicate respect and horizontal communication between the Manager and rest of the staff members.

The focus group expressed frustration with Government (DSD, Department of Health, and the Department of Education) as they are of the opinion that these Departments have the capacity to help, teach, or “capacitate” the Centre, but Government do not deliver on their promises year after year, or even provide feedback. This suggests a lack of dialogue, trust and respect between the parties.

*Summary:* The information gathered in the interview and focus group discussion suggests that all the constructs of dialogue, namely two-way horizontal communication; shared meaning/context; interpersonal communication; conscientisation and praxis; and mutual trust and respect are present in the communication amongst the Tshwaraganang members. These constructs were however utterly lacking in the Private and Public Sector and other stakeholders, like the beneficiaries’ parents, indicating that dialogue was not engaged in with these parties. The examples shared by the NPO indicated that the NPO seemed not to know how to engage with the Private Sector and parents besides the written approach but their attempts at communicating were completely ignored by these parties.

#### **4.2.1.6 Dialogue: Comparison between the NPOs**

The researcher, through the questions directed in the various interviews and focus group discussions, focused firstly on the internal communication between the NPO members themselves, but extended the questioning to include reference to the community, Private and Public Sector.

All five case-study NPOs did indicate that they engage in dialogue, especially internally with their own management, staff, volunteers and beneficiaries, but the levels of the different constructs of dialogue varied between them. It would seem that the communication of the case study NPOs who have bigger teams (more people) and a greater distinction between Board members, Management and staff, like Thakaneng and Mosaic, tended to be less two-way, horizontal than the smaller NPOs, and leaned towards a top-down approach (although this could be unintentional). This suggests that it is possibly easier to engage in horizontal dialogue with less people. Most of the NPOs made an effort to engage in dialogue with their members frequently and had weekly meetings, with the exception of Thakaneng, who had monthly

meetings, and Ikageng Day Care Centre for the Aged who, as an individual engaged, with her committee and external Elderly Forum only quarterly.

It was noticeable that Thakaneng, the case study whose information pointed to the least amount of horizontal communication and less frequent engagement, was also the NPO that revealed a lack of trust and reported tension between its members.

The joint focus group with members of all the NPOs (except Thakaneng) strongly confirmed what was also noted in the other interviews and focus group discussions, that all the case studies, with the exception of Mosaic, seemed to want to engage with the Private Sector but had trouble to connect and create a shared meaning (understanding) and context. These NPOs almost exclusively used written communication to approach the Private Sector, and then appeared to be at a loss of what to do next. This approach did not result in two-way horizontal dialogue or any of its following constructs, with the Private Sector, as the NPO did not receive an equal opportunity to engage in speaking and listening. Mosaic on the other hand, seemed to have a good grasp of how to communicate with the Private Sector and indicated regular interpersonal meetings with these donors.

All the case studies, except Mosaic, had some form of contact and communication with their local community, but the information gathered from the interviews and focus groups also did not indicate all the constructs of dialogue with the community.

All the case studies, except Thakaneng, indicated a great need and then a resulting frustration in communicating with the Government and the information gathered, for the most part, did not reveal dialogue between the NPOs and the Public Sector, even if there were instances of interpersonal contact between the parties. Another Public Sector exception was the dialogue indicated between Mosaic and the University who have a very good relationship and regularly consulted with each other.

Some NPOs indicated better relationships with the Government than others did. Of the five case studies, Thakaneng seems to have the best relationship with Government and seemed to engage interpersonally and regularly with the NPO's assigned DSD representative, and the interview indicating trust and participation in the relationship. Tshwaraganang seemed to have the most Government connections with its representation on different forums, but this did not necessarily point to dialogue. NG Welsyn connected regularly with the DSD, but communication seemed forced and involuntary. Ikageng Day Care Centre for the Aged reported a good relationship with Government but, the NPO's frustration with the lack of feedback from the Government indicates otherwise and does not point to dialogue. Mosaic indicated its

relationship with the Government as “non-existent” even though the NPO has tried to connect personally.

The NPO forums mentioned in the interviews and focus group discussions would appear to afford the opportunity for dialogue, participation, conscientisation and praxis, and shared meaning between the NPOs and Public Sector. However, it would seem that the dissipating frequency of the forums and Government’s lack of feedback mentioned by the NPOs, does not present the opportunity for two-way communication with an equal opportunity to engage in speaking and listening. Nor does it create an environment of trust. As a result, it seems the NPOs have lost respect for and trust in the Government and had very negative views of the Public Sector.

#### **4.2.2 Participation**

As previously indicated, the constructs for participation were identified as dialectic communicative process; levels of participation; participation in planning; participation in implementation; participation in evaluation; participation in benefits; and collaboration and collective decision making (refer to Table 2 under Section 3.3.2 in Chapter 3 for a detailed list of the constructs).

##### **4.2.2.1 Participation: Ikageng Day Care Centre for the Aged**

Note that because Susan Luthuli runs this NPO single-handedly, as a limitation, a focus group discussion could not be conducted, and information was thus only gathered from the semi-structured interview with her.

###### *a) Dialectic communicative process*

When asked to elaborate on her relationships with the community and the involvement of the Private and Public Sector Luthuli indicated that she welcomes any visitors to her centre. She interacts with various members from the community, churches, University staff and students, Private Sector donors, social workers, police, National Defence Force and other Government officials who pitch up to help or just visit. She indicated that her NPO receives much-needed donations, treats or services (for example nursing or social work students who render services as part of their practical hours) from these visits.

Luthuli also mentioned that the community would often refer people, especially youth, to her for advice and guidance. She appeared puzzled that people would come to her, as she is uneducated, for advice but seemed proud that according to her “they know they find gold here”.

The frequency of visitors to the NPO, and the willingness of Luthuli to engage them indicates that she readily shares information with stakeholders and engages in dialogue.

As discussed under 4.2.1.1 Dialogue a) Two-way horizontal communication the NPO would engage in dialectic communication with its own Committee members, the Elderly Forum and University lecturers, but it was not the case with the Private and Public Sector as Luthuli’s descriptions indicated that parties did not have an equal opportunity to engage in speaking and listening. The NPO had to ask to be engaged with in their letters to Government for instance and, while this indicates information being shared from the NPO with the Government, there was often no horizontal reciprocation.

*b) Levels of participation (high-level or low-level)*

It would seem that Luthuli engaged in high-level participation with the NPO’s own Committee and the Elderly Forum, as they collaborated on projects, such as events and outings and would make decisions together to identify needs and decide how to fulfil them. These members then actively participated in the implementation of their plans. This seems to indicate collaboration and empowered participation as the members participate throughout the whole of a project, event or outing.

From the descriptions in the interview, it would seem that Luthuli is mostly engaged in low-level participation when the Public or Private Sectors are involved. She described how the NPO and Elderly Forum would meet with members of the Private or Public Sector, in order to consult with them and share information. In the case of the Public Sector, the NPO would be invited to participate in workshops, or the NPO would inform the Government in writing of their needs, and then meet in person. Although Luthuli indicated that the Public Sector would mostly promise feedback to the NPO after the meeting, but then not respond. In the case of the Private Sector the NPO would approach donors, first by letter or telephone before engaging in a meeting. Alternatively the NPO would be approached by donors, share information on what the NPO’s needs were, and then receive the necessary resources. In most cases, these donors are not further involved in decision-making or participation in any projects.

Luthuli indicated that the NPO’s vegetable garden project, where the elderlies plant and harvest vegetables to feed themselves and to sell in the community for funds, is the biggest and longest running project of the NPO. The project was her idea initially, but some stakeholders like

churches have been involved in consultation and collaboration on how the garden could be expanded, and what resources or infrastructure would be needed. This could indicate a shift from low-level towards high-level participation in this instance.

c) *Participation stages: planning; implementation; evaluation; benefits:*

Over the years Luthuli had donors involved in participating in the planning and implementation stage of the expansion of the garden. The Municipality provided land and labour in clearing and preparing the ground initially, while churches and individuals from the Private Sector were involved in planning the expansion and providing the resources needed to start it, like labour, seeds, shade netting and compost.

From the interview, it seems that there was no further participation by these same stakeholders in evaluation or benefits, although Luthuli did indicate that the garden has won prizes for the best community garden three years running, as identified by Government. She said that representatives from the Department of Agriculture evaluate the garden twice a month.

Participation in the benefit stage are by the beneficiaries of the garden - the elderlies attending the centre, themselves working in the garden and gaining from its produce. The garden provides food and money for the running of the NPO.

It would seem that although she had various stakeholders involved in physically participating in the project, significant participation in the communication process like collective conscientisation and praxis – reflecting on the community's needs, which led to action to solve the needs – was not present.

d) *Collaboration and collective decision-making*

As also mentioned under Section 4.2.1.1, Luthuli collaborates with similar projects in the community which also focus on the elderly and she explained that they have decided to approach National Government together to petition Ministers to create a “desk for the elderly” in parliament, in order to represent the elderly and advocate to their needs. She indicated that it is an on-going process and so far, there has not been much reaction from the Government's side, a meeting was to be scheduled with the Ministers soon.

Luthuli mentioned that different Government officials who visit the centre during their elderly awareness or appreciation campaigns, some having the elderlies participate in Government surveys, reports or workshops, constantly approach her. This does not seem to indicate collaboration though, as the participation in surveys or reports, although voluntary, means that the Public Sector is telling the NPO what to do. Although the NPO may share information, ideas

or identify needs, it does not lead to collective decision-making with the Public Sector. In her description of the visits it seemed on the one hand that Luthuli enjoyed entertaining important guests, but on the other hand she indicated that these visits never resulted in financial support for her NPO, which is what she needed. So far, the participation with the Government does not seem to lead to empowerment.

Regarding her own NPO projects (like the vegetable garden), it seems as if she has an idea, then approaches the Private and Public Sector for assistance. They provide it either according to her request, or according to their own decisions as what to offer to the NPO. She gave an example of a Private Sector donor approaching her and asking if the NPO needed something physical done for them, or needed money. In this case she opted for money, which was donated, and no further collaboration happened. When asked if Private Sector donors were involved in decision-making with her she answered “*No, no, no, no. They are not. They are making their own decision*”. Collective collaboration and decision-making therefore seems absent.

*Summary:* From the information gathered during the interview it seems that although there are multiple instances of participation involving dialectic communication with or from the community, Private and Public Sectors, it is mostly passive, short term and needs-based, revolving around donations and information sharing. Besides the NPO’s Committee and the Elderly Forum, it does not seem that Luthuli has approached anyone or has herself been asked to participate in longstanding projects which involve high-level participation such as decision-making or collaboration. The vegetable garden project, however, did reveal participation in various stages of planning, implementation, benefits and evaluation from different stakeholders, but they were not all involved throughout the entire project and therefore not all the stages. Stakeholder involvement appeared to be more in the form of providing infrastructure or donations, than in collaborative decision-making. This means empowered participation was not attained.

#### **4.2.2.2 Participation: Mosaic**

##### *a) Dialectic communicative process*

As discussed under point 4.2.1.1 Dialogue, the NPO engages in frequent communication and information sharing with its internal and external stakeholders. The interview and focus group discussion indicated that the Managers invest a lot in their staff teams with weekly training sessions and meetings to “make sure everyone is on the same page”. The NPO also sends a Manager to visit the beneficiaries in their homes on a weekly basis to discuss their concerns

and share important information. The results however indicated that dialectic communication mostly took place between the Managers and that communication with the staff and beneficiaries tended to be more one-directional, as opposed to two-way horizontal. M. Conradie indicated that interpersonal dialectic communication with their donors was crucial. However, communication with the community and Public Sector was a challenge with no, to limited, engagement.

*b) Levels of participation*

In the interview and focus group discussion, the NPO indicated that it engaged in multiple weekly meetings with various levels of management, volunteers and staff and on a less regular level with donors, and extensively used electronic communication like e-mail and Whatsapp groups. As mentioned earlier under point 4.2.1.1 Dialogue, the Management Meetings are where two-way horizontal discussion, brainstorming and collective decision-making are engaged in, while the rest of the meetings seemed to lean more to one-directional communication in the form of sharing information. This indicates that the Management Meetings are then also the locale where high-level forms of participation like collaboration and empowered participation in decision-making takes place, whilst the information sharing meetings with staff, volunteers and beneficiaries qualify as low-level participation. In these settings, the staff, volunteers and beneficiaries are informed, trained and even consulted, but the decision-making still rests with Management.

In the interview, L. Conradie indicated that the NPO's donors are involved from the inception of the projects when the NPO approaches them with a proposal. The donors are asked if they would like to get involved and are invited to visit the NPO to assess its operations and experience it for themselves. She indicated that donors came from the Private and Civil Sectors, both locally and overseas. Ostensibly most donors only donate funding and get feedback on what was done with it, instead of getting involved with collaboration, decision-making and actively participating. L. Conradie indicated that the NPO tries to make their donors, especially international ones, feel involved by sending them videos of their beneficiaries. This, however, indicates low-level participation in information sharing only. A few donors, e.g. some American churches, do send teams to participate physically in building houses for beneficiary families and, although this strengthens relationships between the NPO and donors. This short-term collaboration does not point to high-level participation in the communication process of decision-making regarding the operation of the NPO. The beneficiaries receive the benefits such as houses, skills training and job opportunities but, they are not involved in the NPO's decision-making process.

In the focus group the members indicated that they engaged in discussions, brainstorming and collective decision-making, but L.Conradie indicated that the specific Managers had the “last say” on matters pertaining to their departments and that their “opinion counted the most”. M. Conradie also indicated that the NPO operates with “lots of trust” and that he, as CEO, had a hands-off management style, which left the initiative of what to do with the Managers. They reported to him on matters, and he was not necessarily involved in all the decisions. This could indicate that the management team was involved in high-level participation which then led to empowerment and self-management for the individual Managers, but it could however also be interpreted that collaboration does not happen much across the whole spectrum of the NPO’s members of staff and beneficiaries. This seems to indicate that the staff, volunteers and beneficiaries are involved in low-level participation only.

c) *Participation stages: planning; implementation; evaluation; benefits:*

In both the interview and focus group discussion, when asked how Mosaic involves people in their projects, they at first had difficulty pointing out at what stage of a project participation happened, as they saw their operations as continuous, without specific end dates. From the descriptions shared however, it was indicated that the NPO management does the identification of needs and the subsequent planning, and thereafter the other stakeholders are informed or consulted. L.Conradie indicated that donors are given the option to get involved, but that most opt to provide funding only. Others would participate in the implementation stage by getting involved in building houses for the beneficiaries, in the way specified and demonstrated by the NPO. This does not give the impression that donors are in any way involved in the identification of needs, planning, evaluation or benefits. Staff and volunteers are involved in the implementation of projects, such as the after-school training of the foster children, and it seems that in this instance, they are given responsibilities and actively participate in realisation of the project.

d) *Collaboration and collective decision-making*

During the focus group discussion Mosaic confirmed that their NPO would not collaborate with all or any NPOs, as it should be a strategic alliance that benefits them, and added that they are careful to not let collaboration disrupt or hinder their vision and mission. The participants identified a couple of like-minded or similarly focused NPOs with which they did collaborate: Tentmaker Ministries, with whom Mosaic started a private school attended by their beneficiaries, and Abraham Kriel Children’s Home, who also works with orphans.

L. Conradie however did mention in her interview that they would make use of the support some other NPOs working in Ikageng and Promosa provides: she would refer family counselling

matters to the NPO, FAMSA; would share advice and ideas with the NPO Seeds; and have their beneficiaries benefit from skills training provided by the NPO Khulisa.

In the focus group M. Conradie described that the Managers have a high level of trust in their co-Managers and volunteers, with a somewhat “hands-off management style” which allows the individuals to use their own initiative and run their departments or projects as they see fit. However, this could also be interpreted as collaboration which does not often happen across the whole spectrum of the NPO’s members.

As already mentioned under Section 4.2.1.2, the interview and focus group discussion indicated that to date there has been no collaboration or involvement with the surrounding community, but the NPO was planning to change this by setting up a Community Advisory Board.

L. Conradie stated in the interview, and the focus group affirmed it, that there is no involvement from the DSD and Municipality with Mosaic’s projects. She indicated that, although Mosaic can and has been existing largely without relying on Government, the NPO has to continue trying to build a relationship with the Government. The NPO needs the DSD for administering the adoption process of their foster families, and they need the Municipality to make more property available for sale, so they can expand on the housing they provide to foster families. She mentioned that they have a good relationship with the Department of Trade and Industry from whom Mosaic is renting an industrial kitchen space. This relationship has “not really been elevated to a partnership”, indicating that it is only a rental agreement and not a collaboration or participation between the parties. She mentioned that the University’s Community Engagement office plays a mentoring role to Mosaic’s CEO, providing consultation and advice regarding Mosaic’s needs or any challenges they are experiencing.

*Summary:* The information gathered in the interview and focus group discussion showed that Mosaic engages in dialectic communication with their stakeholders to encourage participation. However, the levels of participation are mostly low-level sharing of information and consultation, with the exception of the Management Team who collaborate and are involved in collective decision-making amongst themselves. It seems that staff, volunteers and beneficiaries’ involvement are limited to being informed or consulted. Their participation is in implementation phases and sharing in benefits, but not in planning, evaluation or collective decision-making. It seems most donors’ participation is also low-level information sharing and limited to the donations themselves, with the exceptions of some groups getting involved in physical implementation when the houses for beneficiaries are being built. There is no participation with or from the community or Government. This indicates that the NPO’s Management Team is mostly self-reliant and does not include or invite other parties to participate fully at high-level decision-making or in all stages of projects.

#### **4.2.2.3 Participation: NG Welsyn**

##### *a) Dialectic communicative process*

The interview and focus group discussion indicated that the NPO actively engages in interaction through meetings, appointments and uses social media and the local Press to inform stakeholders of their projects and encourage the broad community to get involved. The interview and focus group discussions reported that the NG Welsyn branch is required by their Head Office to plan and run awareness projects, fundraising projects, and resource gathering drives, e.g. a blanket drive before and during winter. In the interview and focus group, Erasmus described that the NPO members have to plan and implement the prescribed projects and would then approach various possible donors in the community and Private Sector in writing and/or personally to purchase tickets, donate money or resources and/or attend the events. As discussed under Section 4.2.1.3 Dialogue, dialectic communication is present and takes place successfully in the internal communication amongst the NPO members, but was lacking in the Private and Public Sector, because not all the constructs of dialogue were present with these Sectors, and communication was often one-directional.

##### *b) Levels of participation*

The results attained from the interview and focus group discussion suggest that the NPO mostly engages in high-level participation of collaboration and decision-making amongst its own members as they discuss and plan projects and decide on implementation. On the one hand, this could indicate high-level participation in the form of self-management as the NPO members could take the initiative on how to approach and implement the projects. However, as the NPO indicated that they have to do specific projects and themes prescribed by Head Office and DSD, it could also suggest that they are informed as opposed to being included in decision-making. This suggests low-level participation with these parties.

When asked about the nature of the community's involvement Erasmus said that it was limited to buying tickets or donating resources to support them. She indicated that most donors are not really interested in getting practically involved in what NG Welsyn does, but the NPO does provide their primary loyal donors with feedback on what the donated money was used for. This also points to low-level participation of information sharing.

In the interview, Erasmus said that a project, which successfully engaged the community and Private Sector in participation for a time, was the 'Stop Feeding the Problem' campaign, which NG Welsyn initiated with the Chamber of Commerce and various grocery shops in order to discourage street children to beg for money. The community could buy food coupons at various

private businesses and give these to street children to redeem at the shops for food, instead of giving them money. The NPO initiated the project, collaborated and shared decision-making with the Chamber about the problem of street children who are kept on the street because they earn enough money from begging. This suggests high-level participation between the NPO and the Chamber on this specific project.

Ostensibly the members engage in high-level participation amongst themselves, yet the NPO mostly engages in low-level participation with the rest of its stakeholders, although on occasion engaged in high-level participation with the Chamber of Commerce.

c) *Participation stages: planning; implementation; evaluation; benefits:*

The information gathered from the interview and focus group discussion implies that participation by the NPO's staff members was actively collaborative and they engaged in the communication process of planning, implementation, benefit (in providing for their beneficiaries) and evaluation of their projects with each other.

Both the interview and focus group discussions denoted that interaction between the NPO and the DSD is limited to meetings and reporting back on a monthly basis to the DSD locally, and quarterly to the district. The DSD prescribes certain themes and projects to the NPO, but the Department does not participate in them with the NPO. Erasmus also pointed out that with the NG Welsyn's Advice Board, their interaction is limited to consultation and information sharing. This demonstrates that these parties are not involved in participation throughout any of the project stages, are just interested in the results and whether the NPO complied with their prescriptions.

Erasmus shared that the Chamber was involved with the NPO in the planning and implementation stages of the 'Stop Feeding the Problem' campaign, but stated that the project had died down due to some businesses withdrawing without clear benefits to the businesses being identified. She confirmed that no evaluation was conducted during or after the project. This indicates that although the NPO briefly engaged in high-level participation with the Private Sector, it did not complete all the stages. The NPO stopped at the planning and implementation stage, and did not continue to evaluation and sharing in benefits.

d) *Collaboration and collective decision-making*

As already mentioned under c) *Participation stages*, the results indicated that interaction between the NPO and the DSD and the NG Welsyn Advice Board is limited to meetings and reporting, consultation and information sharing. The DSD prescribes certain themes and projects to the NPO but, the Department does not participate in them together with the NPO.

This signifies that the NPO does not engage in collective effort with the DSD, but that one party is telling the other what needs to be done, which does not lead to empowerment. Erasmus reported that there was no interaction, collaboration or participation with the Municipality.

The participants conveyed that although they cannot collaborate with other NPOs on their cases or projects, they willingly collaborate with NPOs in the social work field in order to share information, advice and referrals. Other NPOs were, however, not interested in participating in the “Stop Feeding the Problem” project. This suggests that there may be a collegial relationship between some NPOs, which offer support, but this has not evolved into collaboration and collective decision-making.

*Summary:* From the information gathered from the interview and focus group it appears that the NPO's members are engaged in collaboration and collective decision-making amongst themselves and in all the levels of projects from the planning, implementation, evaluation and sharing in benefits, if the beneficiary's needs are met.

The NPO's internal participation was high-level and present throughout all the stages as the members together decided how they approached the projects. With external stakeholders like the Public and Private Sectors, participation was passive and low-level information sharing and consultation, with no shared decision-making. The “Stop Feeding the Problem” project was the only instance in which the NPO and the Chamber of Commerce engaged in high-level participation because they actively collaborated and engaged in shared decision-making. The participation was however not sustained and the project did not continue through all the stages, but stopped at planning and implementation. The project was not evaluated to see why it wasn't successful and this could indicate a lack of motivation, dialogue, relationship or man-power to continue in the participation.

The NPO seems unsure of how to approach and get stakeholders actively participating in their projects, while the Governing Bodies like DSD and NG Welsyn Head Office seemed to prescribe to the NPO what to do, without the option of being involved with collaboration and collective decision-making. This means empowered participation was not engaged in..

#### **4.2.2.4 Participation: Thakaneng Project**

##### *a) Dialectic communicative process*

In the interview Seemelo indicated that the NPO's communication with donors from both the Private and Public Sectors, mostly takes place through information pamphlets and letters in

which the NPO approaches donors and invites them to get involved, or thanks them for donations made. This indicates that the NPO actively shares information with stakeholders, but does not suggest dialogue. The NPO's Manager reported that he interacted regularly in dialogue with the DSD.

As discussed under Section 4.2.1.4 Dialogue, the interview and focus group implied that the NPO is passionate about the relationships they build with their beneficiaries, the children, and that one-on-one dialogue with them is fundamental, but it was unclear if all the constructs of dialogue were indeed present in communicating with the beneficiaries. The results reported that the NPO engaged in monthly meetings with Staff, the Manager saw the individual staff members daily to discuss their tasks but, the description could indicate that communication is more one-way, top-down from the Board to the Management to the Staff, and not horizontal and two-way. The dialectic communicative process therefore only seemed successful with the beneficiaries and between the Manager and the DSD representative but was lacking with the other stakeholders.

*b) Levels of participation: high or low*

In the interview, Seemelo indicated that the Board of Directors did the planning and made decisions on behalf of the NPO and the Managers then implemented it with the staff and volunteers. This indicates that high-level participation is only on the Board and Management level. Although a beneficiary representative has to attend board meetings, no indication was given that he actively participated in decision-making with the board. The focus group indicated that the Managers communicated with all stakeholders, specifically donors and important stakeholders like the DSD, while the staff members only communicated with the beneficiaries and the full time German volunteers. This suggests the opportunity to engage in participation, was limited.

Seemelo mentioned a list of Private Sector donors with which Thakaneng has a good relationship, and who gives regular donations (i.e. mostly food). The Municipality sometimes also donate groceries or send its community development workers to visit, as do the Police, however, from his descriptions, it seems that donor involvement starts and stops with donations.

When asked about the community's participation with the NPO, Seemelo confirmed that the community give donations or some members volunteer to serve at the NPO. For example coaching soccer for the children or helping with homework. He indicated that the community and Private Sector would contact the NPO if there are street children to be collected, or community members will sometimes bring children in themselves. He mentioned that once a week the NPO

receives eggs as donations from the Potchefstroom Agricultural College and, whatever is left over is made available to the Public to come and collect.

When asked about the University's involvement with the NPO, Seemelo confirmed that there was some contact with the student community engagement programmes (SJGD), which donated geysers to the NPO and sometimes visited the kids. From the interview it did however not seem like a relationship between the parties was established and participation seemed limited.

Participation with the Private Sector, community and Public Sector, although good relationships are indicated, seems sporadic and very low-level: sharing information and receiving donations.

c) *Participation stages: planning; implementation; evaluation; benefits:*

Seemelo indicated in the interview, as already mentioned under Section 4.2.1.4 Dialogue and b) *Levels of participation*, that the Board of Directors did the planning and made decisions on behalf of the NPO. The Managers then implemented it with the staff and volunteers via meetings. Seemelo said that he was planning an open day at the commercial area next to the University called "Die Bult", where street children often hang out and become a Public nuisance. He wanted to involve the University students, Police, community, DSD and other stakeholders in participation of the Open Day to raise awareness and do fundraising on behalf of the NPO. His description did not include consultation with the NPO staff. It therefore confirms that planning, collaboration, and evaluation happen at Board and Managerial levels, while participation in implementation happens at staff and volunteer level.

The German volunteer participating in the focus group stated that the volunteers would plan outings for the children with the consent of the Manager. This denotes a limited amount of planning, decision-making and implementation by the volunteers, from which the beneficiaries would benefit. There was no mention made about the evaluation of projects.

As indicated in point b) above, participation with the Private Sector, community and Public Sector, appears to be sporadic and very low-level. These stakeholders are not involved in the communication process of different stages of projects at all, although Seemelo gave an indication that he would like to include these external stakeholders in a future project.

The impression is given that the NPO provides for the daily needs of the beneficiaries, and receives donations in order to do so, but projects are not really implemented. The results point to very limited opportunities created for or by the NPO to engage in participation.

d) *Collaboration and collective decision-making*

Minimal collaboration with external stakeholders was indicated in the interview, when the community and Private Sector bring children in or volunteer, or when the DSD supports the Manager with advice. Both the interview and focus group participants indicated that there was no collaboration with other NPOs. Seemelo shared in the interview that during Child Protection Week the DSD would normally organise speakers to visit the children, but the DSD's further participation was limited to the monitoring of the NPO to make sure of the NPO's compliance. His detailed description of other stakeholder involvements focused on donations only, and not collaboration and collective decision making. He did cite an example of limited collaboration with the NPO staff, that when the NPO has a crisis, for example food and clothing supplies running low, he would get the staff together and they would discuss possible solutions and decide what to do to obtain additional funding. There is therefore no collective decision-making with external stakeholders and limited collaboration or decision-making amongst the NPO members, as the Board and Management do not invite them to participate.

*Summary:* Although good relationships are suggested, the NPO's participation with the Private Sector, community and Public Sector, seems sporadic and very low-level, limited to sharing information and receiving donations. The NPO staff members seem, in most cases, to be excluded from decision-making and planning. Although a beneficiary representative has to attend board meetings, no indication was given that he actively participated in decision-making with the board. Beside the outings which the volunteers plan for the beneficiaries, with permission of the Manager, there seem to be no projects running for either internal or external stakeholders to get involved in. Collaboration is indicated as minimal. The DSD's involvement focuses on the compliance of the NPO to its regulations, which does not include the NPO in collaboration or collective decision-making. This suggests that the opportunity for the NPO and its members to engage in participation, which could lead to empowerment, is very limited.

#### **4.2.2.5 Participation: Tshwaraganang Centre of People with Disabilities**

a) *Dialectic communicative process*

Coach Matlawe confirmed in his interview that the NPO engages in dialectic communication in meetings with their staff, visits from the community members, appointments with their DSD disability worker and monthly attendance at the Municipality's Disability Forum where he engages on behalf of Tshwaraganang with various Government departments, as well as other societies or organisations for people with disabilities. The focus group participants described

their internal communication in meetings as discussing resources and planning for and evaluation of events, teaching beneficiaries, and external communication as interaction with visitors, while sharing information via letters, flyers and word of mouth with the community as well as possible donors in the Private and Public Sectors. As already discussed under Section 4.2.1.5 Dialogue, it would seem that the NPO actively engages in interaction and dialogue with each other, but have difficulty engaging in two-way horizontal communication with others like the parents and Private Sector who seemed to ignore the NPO.

*b) Levels of participation*

In the interview, when asked about the community's involvement in the NPO, Matlawe mentioned that the community is always welcome to visit the NPO and that people would sometimes visit and volunteer services like cleaning or painting the centre, bathing children, and sharing their skills and professional services. He also mentioned that the NPO sometimes presents workshops to the community as part of creating awareness in how to deal with people with disabilities.

Matlawe cited a list of some Private Sector donors with which the NPO has a good relationship and who give regular donations (i.e. mostly food). From his descriptions however, it seems that the donor involvement starts and stops with donations. He indicated that it was a challenge to reach the Private Sector and get them to respond to the NPO's letters.

The focus group indicated that the NPO regularly invites the community via radio, pamphlets and letters to schools and churches, to participate by volunteering at the Centre. The focus group members also indicated that they would often plan events and receive outreach visits from the University.

In the interview Matlawe indicated that different Government stakeholders were present at a monthly Disability Forum initiated by the Municipality and that, they would talk about challenges for the disabled in the community are discussed. He stated that Government offices who are involved in the Disability Forum are the Mayor's office, Department of Health, SASSA, Department of Home Affairs, Department of Education, Department of Agriculture, Department of Justice, the Department of Labour and the SAPS. He sounded positive when speaking about the Disability Forum in the interview, but the focus group seemed mostly frustrated and desperate for the Government (DSD, Department of Health, and the Department of Education) to help them:

*“They must come more frequently to our place so that they can see what we are going through. Because really it is quite difficult for us. How are we supposed to teach them so we are giving them whatever we think is good for them? But how do we know it is good for them? So it*

*seems as if we are wasting our time and also their [the beneficiaries] time. So they [Government] must be more involved in this.”* (Focus group participant, 2015).

The results seem to indicate that the NPO has high-level participation amongst the staff, as they are part of the decision-making process throughout projects. However, with the remainder of the stakeholders it seems that there is minimal low-level participation as stakeholders' involvement are mostly short term in volunteerism and donations from the community and Private Sector, and information sharing and consultation with the Public Sector, but these stakeholders are not involved in decision-making with the NPO.

c) *Participation stages: planning; implementation; evaluation; benefits:*

In the interview, Matlawe said that for programmes or projects like fundraiser events, the NPO staff members would discuss options, analyse the needs and research how to approach it.

*“When we, for example, when we want to do a fundraising or a particular kind of a programme we need to do research around how to do that. And then as you see to analyse the need. How best can that project or programme assist persons with disability, because our key objective it is to develop people with disabilities, it is to develop people with disabilities. So, it is very much important to get their side of the stories as to how best can that impact them, into their life.”* (Matlawe, 2015.)

After the above-mentioned process, Matlawe stated that they “implement” by designating tasks to every staff member.

The focus group described how the staff would have meetings and appoint committees who would plan events and designate tasks to everyone. Afterwards they would evaluate the event and engage in “introspection”. Participants in the focus group recounted that they would involve the Government in projects by writing to them requesting donations and keeping records of their attendance lists to show Government officials that the event took place and was attended.

The descriptions given in the interview and focus group indicate that the staff members are involved in most, to all the stages of participation: planning; implementation; evaluation and benefits. The other stakeholders like the community, Private and Public Sectors however, seem to be minimally involved in implementation via volunteering and donations, as they are not involved in the other stages. The beneficiaries benefit from the skills teaching programmes and caregiving, but are not otherwise involved in stages of participation.

d) *Collaboration and collective decision-making*

As also mentioned under Dialogue in Section 4.2.1.5 the internal participation of staff was described in the interview and focus group discussion as meetings where members research and discuss projects or programmes and did a “needs analysis” before they started

“implementation” and, that the Manager does not impose his ideas on the staff. A focus group participant described that in the NPO’s planning for events they would create an Organising Committee which delegated tasks to each person, and that they would evaluate during and afterwards if an event was successful. It seems that members are engaged in collaboration and collective decision-making throughout the projects.

When asked if Tshwaraganang collaborated with other NPOs, Matlawe mentioned that they used the services of other NPOs from time to time in training their beneficiaries in life skills or awareness programmes on HIV/Aids for example. This however did not indicate collective decision-making. The focus group however seemed to think it a good idea for NPOs to work more closely together.

*Summary:* From the information gathered from the interview and focus group it seems that members are engaged in high-level participation of collaboration and collective decision-making and in all the levels of projects from the planning, implementation, and evaluation to sharing in benefits if the beneficiary’s needs are met.

Participation from the community, Private and Public Sector, however seemed minimal and low-level information sharing, with very limited collaboration in volunteerism, but no shared decision-making. Participation that could lead to empowerment of the NPO is therefore lacking.

#### **4.2.2.6 Participation: Comparison between the NPOs**

Form the information gathered from the interviews and focus group discussions, it seemed that all five case studies engage in some form of participation with their staff, volunteers, the community and the Private and Public Sector. However, in most cases it is low-level participation, which only covers consultation and information sharing. It is only in internal communication that the case studies revealed collaboration or empowered participation in collective decision-making amongst their Management or Staff. The only exception mentioned with external stakeholders, was Ikageng Day Care Centre for the Aged who collaborated with similar NPOs to create an Elderly Forum, and NG Welsyn who collaborated with the Chamber of Commerce on one project and shared decision-making. NG Welsyn’s collaboration was however not sustained and this could point to a lack of motivation, dialogue, relationship or manpower to continue with the participation.

The invitation to get involved in participation seemed to originate mostly from the NPO themselves. Some of the NPOs mentioned that they were invited to participate in Public Sector meetings and workshops, but indicated that it was low-level information sharing situations, and

not an invitation to collaborate or to be involved in collective decision-making. None of the NPOs mentioned being asked to participate with the Private Sector. A few mentioned community volunteers who asked to be involved in short-term instances, volunteering their services. It was noticeable that the NPOs would invite the community, Private and Public Sector to be involved, but that they typically expected funding, resources or infrastructure, and did not invite stakeholders to get involved in collaboration, collective decision-making or to be involved in all the stages of a project. None of the case studies involved stakeholders in all the possible stages of projects, namely planning, implementation, evaluation and benefits. Some NPOs seemed unsure as to how to approach and get stakeholders actively participating in their projects.

The combined focus group discussion with members of all the NPOs (except Thakaneng) revealed that the majority of the participants were positive about NPOs collaborating and felt they could benefit from shared knowledge. Mosaic however, in their separate focus group discussion, sounded sceptical and was exclusive in terms of collaboration (see section 4.2.2.2 *d) collaboration*) In this discussion, the case studies were all particularly vocal about how little the Government participated with or did for them. There seemed an expectation from the NPOs that the Government were supposed to help them with resources. In most cases, the engagement with the Public Sector only revolved around the expected compliance of NPOs to Government prescriptions, and there was no opportunity to participate in collective decision-making.

Interestingly the NPOs' responses in the interviews and focus group discussions and combined discussion, indicated that they accepted it when members from the Private Sector did not engage with them, but had a very vocal and negative reaction to the Public Sector not engaging with them.

According to the literature on participation (refer to Chapter 2 for the detailed discussion on participation and the resulting guiding argument under Section 2.2.5.3.2, as well as the discussion on empowerment leading to self-reliance, and the resulting guiding argument under Section 2.2.5.3.4), low-level participation of information sharing and consultation do not lead to empowerment. Only high-level forms of collaboration and empowered participation, when participants are part of the decision-making process through the whole of a project, will lead to empowerment and self-reliance. According to this argument, it appears that the NPOs do not have the opportunity for empowered participation with the Private or Public Sector, since they have difficulty engaging with them, and only have the opportunity to empower their own members. However, few of the NPOs fully engage in this opportunity, and some seem to neglect or even avoid high-level participation with their own staff members.

### 4.2.3 Cultural Diversity

The constructs for cultural diversity were identified as acknowledgement of cultural diversity and cultural freedom; strengthening of group identity; and indigenous knowledge (refer to Table 2 under Section 3.3.2 in Chapter 3 for a detailed list of the constructs).

#### 4.2.3.1 Cultural Diversity: Ikageng Day Care Centre for the Aged

Note that because Susan Luthuli runs this NPO single-handedly, as a limitation a focus group discussion could not be conducted, and information was thus only gathered from the semi-structured interview with her.

##### a) *Acknowledgement of cultural diversity and cultural freedom*

In the interview, Luthuli said that she accepts elderly persons from any culture as members, and she accepts help and visitors from any person and any culture. She mentioned that “even Europeans” and Indians, and different religious groups would visit the NPO – “*My door is open for each and everybody*”. She indicated that culture was not a hindrance when communicating with the Private or Public Sector. Luthuli also confirmed that the beneficiaries were from different cultures and languages but got along and communicated well, and she would not tolerate derogatory remarks or behaviour amongst them. This seems to indicate that the NPO acknowledges and respects cultural diversity.

##### b) *Strengthening of group identity*

When asked about Luthuli’s beneficiaries functioning as a team to ascertain the NPO’s organisational culture, she described how she loves to treat them, involve them with special celebrations like Valentine’s Day, Easter and Christmas, and get members from the community, Private or Public Sectors to spoil them with gifts and treats. From observing her and listening to her various descriptions of what happens at the NPO during the interview, she appears to have a high level of energy and resourcefulness, and carries that over to the elderlies in her care. She does not let them sit idle for long, but keeps them busy with outings or activities like singing, dancing, working in the vegetable garden and cooking their meals. This could indicate that she works not just towards keeping the elderlies healthy and active, but also towards strengthening the group’s identity.

##### c) *Indigenous knowledge*

When asked how she incorporates the experience and knowledge of her community into her NPO’s operations, Luthuli said that she regularly invites different speakers from the community to give talks on various topics to the elderlies to keep them informed and entertained. Examples

she gave were wide-ranging from health care to substance abuse to mining. This seems to be a manner in which the indigenous knowledge of the local community is incorporated.

Luthuli also mentioned that the community would often refer people, especially youth, to her to get advice and guidance, and she regularly receives a wide variety of visitors from all Sectors. It would seem that she is a respected member of the community and regarded as someone who is wise and knowledgeable. This indicates that she is regarded as a resource of indigenous knowledge.

*Summary:* The information gathered in the interview revealed that the constructs for cultural diversity, namely acknowledgement of cultural diversity and cultural freedom; strengthening of group identity; and indigenous knowledge are all present at Ikageng Day Care Centre for the Aged. Luthuli not only acknowledges culture diversity and incorporates indigenous knowledge into her NPO, but is also seen as a resource of indigenous knowledge by the community, Private and Public Sectors. The NPO did not consider culture as a hindrance in communicating with its stakeholders.

#### **4.2.3.2 Cultural Diversity: Mosaic**

##### *a) Acknowledgement of cultural diversity and cultural freedom*

During the interview and focus group discussion, Mosaic indicated that there is a huge variety and difference of culture between the NPO's management, volunteers, staff and beneficiaries. The Management Team includes white Afrikaans and English-speaking South Africans, an American and a black Setswana speaker. Mosaic has a team of German volunteers and the staff and beneficiaries are predominantly Setswana.

In the interview, L. Conradie mentioned that Mosaic often receives American groups as visitors and who help build houses for the beneficiaries. She indicated that Mosaic does not only have language barriers to overcome in communication, but distinct cultural differences too. She indicated the Management respect the Setswana culture and experience it as peaceful and kind. Mosaic is built on the culture, strength and resolve of Setswana women who are willing to take in and care for multiple orphans as their own children. She also indicated that the NPO should have included a Setswana speaker in the Management Team sooner, to help with communication between the beneficiaries and Management to promote better understanding of the local culture. She indicated that they heavily rely on Lance Chauke, the Setswana Manager, to give them feedback as to whether the Management Team's ideas and approach are considered culturally acceptable or not.

The focus group participants agreed that the different cultures in the Management Team added value by affording them the opportunity to observe different perspectives and new ideas. However, it also had the potential to create tension which has to be managed and expectations arise which should then be adjusted (it seems this had been the case by observing the team's body language and multiple participants nodded in confirmation).

Although L. Conradie indicated that, the NPO acknowledges and respects the local Setswana culture, it however appears that they actually have some trouble in accepting it and not forcing a different culture on their staff and beneficiaries. Some comments seemed condescending without the participants realising it:

*"I think what is important to add at this point is, we from a Western culture and perspective, we are used to communication. We get training in communication and communication looks a lot different in our culture than in this culture and I think all of us has got used to the fact that communication is not very important to them and their communication skills is not the same than ours." (L. Conradie, 2015)*

The focus group participants gave examples of where they had to adjust their Western idea of communication, behaviour and business, to the local culture, and said that they sometimes struggle to find the balance between the two. They shared an example of Setswana staff members staying away from work for long periods in mourning after the death of a family member, which was acceptable in African culture, but not according to Western business and labour practice. The participants also indicated that they had to compromise somewhere in the middle.

*"That's something that we talk about a lot. How could we, what kind of system do we implement, because we know that we don't do it right. We know that we haven't figured it out yet". (M. Conradie, 2015)*

*"Yeah we keep figuring out what we're doing. Is it working? We keep being reminded that it is not working." (Ridge, 2015)*

Lance Chauke, the Setswana Manager, indicated in the focus group that he constantly has to ensure that the staff and beneficiaries clearly understand what Management has communicated or are expecting of them - not just because of a language barrier, but also because of different levels of education. The focus group indicated that although it has been a big help to have a Setswana speaker on the Management Team to aid communication and bridge cultural differences, it has created a new challenge because the staff now tend speak to him all the time, instead of with their direct Managers.

When asked if the Private Sector and other groups respected the local and/or organisational culture, L. Conradie indicated that Mosaic's experience was that often the Private Sector groups who visit do not understand or respect the local or organisational culture. She said that they

often wanted to swoop in with refreshments, take photos and then leave. In this sense, she felt that Mosaic needed to protect their beneficiaries from outside companies who do not invest in relationship with them and disrupt their daily schedule.

Enquiring about the Public Sector and respect for the local and/or organisational culture, L. Conradie confirmed that Mosaic does not have much interaction with the DSD or Municipality. The NPO had expected these departments to be more in touch with or have more compassion for Mosaic's beneficiaries, as these Government officials shared the same African culture, language and community as the beneficiaries.

*b) Strengthening of group identity*

During the interview, L. Conradie conveyed that in order to ensure their members work together as a group it is important that everyone be informed of what is happening. This is why they have so many weekly meetings, training sessions and devotionals with the various groups. She described how it has become more difficult for her to be personally involved with everyone as the NPO has grown.

The focus group also mentioned that they had to employ some incentives like food and music to build morale and get the beneficiaries or staff to participate in some group activities or training. As mentioned under Section 4.2.1.2 the Managers emphasized that trust and a shared vision and end goal were very important to the NPO as an organisation, but that this extended to their stakeholders. This approach seems to indicate the NPO's disposition to strengthen the group identity. Although not discussed in the interviews, the researcher noticed that the NPO was well branded and that it had a logo and corporate colours incorporated into the NPO's facilities, which also points to a creation of an organisational group identity.

*c) Indigenous knowledge*

As already mentioned under Section 4.2.1.2 Dialogue, the interview revealed that the NPO did not involve or communicate with the surrounding community from the start, but have since recognized this as a "mistake". The NPO has started engaging in individual conversations with community leaders and plan to create a Community Advisory Board from these leaders, in order to gain involvement from the community and to provide advice to the NPO's management. This means the NPO has disregarded indigenous knowledge from the community up to now.

As already mentioned under point a) above, L. Conradie shared that the NPO was originally inspired by the tendency of Setswana women to take in multiple orphans and raise them with and as their own children. She also said that the Management Team relied heavily on the

Setswana Manager to give them feedback regarding the cultural acceptability of their ideas. This seems to be the extent of how indigenous knowledge was incorporated in the NPO.

*Summary:* The information gathered in the interview revealed that the constructs for cultural diversity, namely acknowledgement of cultural diversity and cultural freedom; strengthening of group identity were present, but not sufficient at Mosaic. The NPO had previously not considered indigenous knowledge much (up until the Setswana Manager joined the team) and has had trouble in accommodating the large variety of cultures present in its own teams, indicating that the acknowledgement of cultural freedom was not complete. The NPO's management is of the opinion that it should have included the local culture into their management sooner in order to communicate better with their beneficiaries. It is however interesting to note that since the NPO's inception in 2009, none of the NPO's management members considered learning Setswana as language themselves, and that they relied heavily on the Setswana Manager who only joined in 2015. This could indicate that Management just did what they saw fit and had a disregard for the local culture and indigenous knowledge until recently.

#### **4.2.3.3 Cultural Diversity: NG Welsyn**

##### *a) Acknowledgement of cultural diversity and cultural freedom*

In the interview Erasmus confirmed that the NPO has experienced that the community, Private and Public Sectors had some preconceived ideas or expectations on a lack of diversity or services limited to one culture, based on their organisation's name and history of being linked to an Afrikaans church. She however confirmed that the NPO does not distinguish between cultures in this way and helps anyone in need. Although she noted that the social issues or needs differ between the communities they serve, Erasmus indicated that culture does not influence the quality of work or impair the NPO's service delivery.

The focus group participants said they have a huge variety of different cultures which they work with in their client cases, but that they have become very accepting of the differences. The participants also acknowledged that the variety of cultures they are exposed to in their daily work has broadened their perspective, and increased their knowledge of human nature and tolerance of differences. The Afrikaans-speaking focus group participants indicated that in cases where language is a barrier they refer to their Setswana-speaking colleague for help and translation. The results seem to indicate that the NPO acknowledges, accepts, tolerates and

respects the different cultural values, customs and languages of the community it serves and has over the years become increasingly integrated.

b) *Strengthening of group identity*

In the interview, Erasmus confirmed that the NPO worked as a close-knit team whose members supported, were interested in, and cared for each other. The participants indicated that they saw themselves as the best NG Welsyn branch and that according to them they set a good example for the other branches to follow. The focus group discussion revealed that the NPO has a strong group identity in the way that the participants described how they supported and relied on each other.

c) *Indigenous knowledge*

In the interview, Erasmus indicated that the NPO respects the indigenous knowledge of their different clients and communities and asks them about cultural differences in order to understand situations better, and rely on their client's knowledge to inform the NPO's actions.

The focus group reported that NG Welsyn has an Advice Board with members who are representative of the different communities they serve, and that the NPO relied on the knowledge and experience of this Board to give it direction and advice, especially in the projects which are launched by the NPO. The participants also indicated that they had individual community volunteers on whom they relied for their vocational experience, for example a handy man and an accountant. This suggests that the NPO incorporates the indigenous knowledge of clients, the Advice Board and volunteers as resources in its daily functioning.

*Summary:* The information gathered in the interview revealed that the constructs for cultural diversity, namely acknowledgement of cultural diversity and cultural freedom; strengthening of group identity; and indigenous knowledge are present at NG Welsyn. The NPO did not consider culture as a hindrance in communicating with its stakeholders. From the NPO's history of being affiliated to an Afrikaans church, it has however experienced that members of the community, Private and Public Sector have some preconceived ideas or expectations as to a lack of diversity or services limited to one culture. This is not the case and the NPO serves anyone in need in various cultures and physical locations in Potchefstroom. The results also indicate that the organisational culture fosters a strong group-identity among the close-knit team.

#### **4.2.3.4 Cultural Diversity: Thakaneng Project**

##### *a) Acknowledgement of cultural diversity and cultural freedom*

In the interview, Seemelo indicated that the NPO is used to and accepting of the diversity of cultures and languages of the beneficiaries who stay at the shelter. The NPO makes an effort to engage and build relationships with the children and involve them in the Board of the NPO by choosing a representative from the children. He mentioned in the interview that Private companies who took the NPO and children's culture into account were ones that asked for Setswana translators in order to communicate with them, instead of English or Afrikaans. He also indicated that the DSD considered culture by training the staff according to the Child Protection Act and specifically expressing that no child may be excluded based on their culture.

The focus group discussion similarly indicated that the NPO accepts and respects all the various cultures and languages (Setswana, Xhosa, Sesotho and others) of the children staying at the shelter, but that they have the added challenge of different age groups of children who live under one roof needing to get along.

Both the interview and focus group confirmed that their staff are from the local community, but the NPO also has two German volunteers who serve annually. Culture was not an issue or an obstacle to their work. The participants indicated that the German culture was a bit foreign to them at first, but that they accepted it and have got used to it. The German volunteers indicated in the focus group that they adjusted easily enough to most differences, but that they were unprepared for the way in which religion is such a strong cultural factor, not just in the NPO, but also in the community and country.

The results indicate that the NPO acknowledges, accepts, tolerates and respects the different cultures of its beneficiaries, volunteers and employees, and does not consider a variety of cultures a hindrance. The NPO did not indicate a lack of acceptance from the community, Private or Public Sector regarding language, culture or race, but did express some stigma concerning how people would react to former street children.

##### *b) Strengthening of group identity*

Both the interview and the focus group discussions pointed to some difficulty in the unity of the team, and Seemelo indicated that the staff members did not all get along and had some trust issues amongst each other. He described that when he cannot resolve staff tension with meetings, he asks local pastors to intervene with counselling and prayer. He also mentioned that when he notices tension rising amongst the staff, he would sometimes take them on

outings so that they could have a break, discuss issues away from the shelter and kids, and build team morale again.

Both the interview and the focus group participants revealed that the members of the NPO are always available to the street children, and care for them deeply, and work hard to rehabilitate them from the street. The Manager indicated that they had to overcome the stigma in the community that street children are drug users and fighters. The children in the NPO overcome their circumstances and change their behaviour. In his descriptions of the NPO's operations, the children come first and the childcare workers are expected to work hard and be available to them and build relationship with them. To the researcher this illustrated the organisational culture and group identity as that of being caring and passionate about their beneficiaries.

The focus group participants expressed the need for more volunteers to help, but specified volunteers who are willing to fit in, and who do not want to change everything. This indicates previous volunteers have not been very accepting of the organisational culture of the NPO and in their eagerness to help, wanted to change things too much.

Although the NPO clearly seems to have the shared goal of caring for its beneficiaries, the results indicated a lack of cohesion in the team. It is not clear if it is due to a lack of group identity and communication, or rather personality clashes between individuals.

*c) Indigenous knowledge*

During the interview, Seemelo indicated that volunteers from the community are welcome and that some would share their skills with the children, e.g. in teaching them to garden, or in coaching soccer. The NPO also has former street children and residents of the shelter come to motivate and inspire the children. This seems to be a way that the indigenous knowledge of the local community is incorporated. He indicated that the community and Private Sector would contact Thakaneng if there are street children to be collected, or community members will sometimes bring children in themselves. This could indicate a way that the NPO is recognized by other Sectors for their work and experience and, therefore, also their indigenous knowledge of how to deal with street children. The focus group did not indicate other ways that indigenous knowledge is acknowledged or incorporated in the NPO's working.

*Summary:* The information gathered in the interview revealed that the constructs for cultural diversity, namely acknowledgement of cultural diversity and cultural freedom; strengthening of group identity; and indigenous knowledge are present, but not sufficient at Thakaneng. The NPO did not consider culture as a hindrance in communicating with its stakeholders. The NPO however experienced some difficulty with the strengthening of group identity amongst its staff,

as not all the members got along. The interventions of the Manager to deal with it thus far, had been insufficient. The NPO also experienced negative opinions from the community, still regarding their beneficiaries as violent drug addicts even if they are rehabilitated.

#### **4.2.3.5 Cultural Diversity: Tshwaraganang Centre of People with Disabilities**

##### *a) Acknowledgement of cultural diversity and cultural freedom*

During the interview, Matlawe stated that the NPO accepts adults and children with disabilities from any culture or race, and added “disability knows no colour”. He claimed that people with disabilities are in general very loving, not racist and can interact with anyone. The focus group participants said that although their beneficiaries are from various different backgrounds and cultures, and it may seem difficult to deal with, it does not impair the way the NPO communicates with them. It actually helps them to be more accepting of differences. The participants indicated that their beneficiaries are brown and black people representing at least six different cultures and languages. The staff mix all the different languages when communicating with their beneficiaries and each other, so that no one is excluded. A participant indicated, “*We always make time maybe that each and every one could take 5 minutes to practise their own culture*” – this seems superficial though. The information shared seems to indicate that Tshwaraganang acknowledges cultural diversity and cultural freedom.

During the interview, when asked if the Private and Public Sectors take the NPO’s organisational culture into consideration Matlawe indicated that he did not experience the Private Sector as being very supportive of the NPO or considerate of their organisational culture. 90% of Private Sector companies he approached did not respond to letters written to them. He indicated that he experienced the Public Sector as supportive, but that Government did not comply with its own employment equity of disabled persons. The focus group mentioned that they did not consider culture or language as obstacles in communicating with the Private or Public Sector. They however did indicate that they were in desperate need of resources and support from these Sectors, but did not seem to be receiving it.

##### *b) Strengthening of group identity*

In the interview, when asked about the NPO’s members working as a team, Matlawe mentioned that he sends team members on workshops (i.e. Business Management workshops, Conflict Management workshops, and workshops on how to deal with Severely Disabled People Who Also Need Medication) to ensure they are equipped. This indicates a way of creating shared behaviour and skills.

He indicated that the NPO is passionate about the rights of people with disabilities and loves saying “nothing for us without us”. The focus group participants affirmed this and gave an indication of their group identity as disabled people. As already mentioned under Dialogue, in Section 4.2.1.5 Matlawe emphasised that the NPO was a centre OF and not for people with disabilities – explaining that staff also had some level of disability and that they therefore understood and experienced the needs and challenges of their beneficiaries as they ran the Centre. This shared meaning and context seems to create a group identity for the NPO. The focus group participants also displayed a passion for helping disabled people when they talked about their challenges and wanting to make a difference through the NPO, indicating a shared group perspective. The results indicate a strong group identity amongst the NPO staff especially in the way they identify as disabled people, advocating for the rights of disabled people.

c) *Indigenous knowledge*

When asked how the NPO includes the indigenous knowledge of the community, Matlawe indicated that the Centre is always open to visitors and volunteers from the community, and that the NPO is eager to accept the skills and knowledge of people who are willing to share it with the NPO and its beneficiaries. Examples mentioned, ranged from life skills training, sport coaching, painting of buildings, and even the washing and feeding of disabled children. The researcher is of the opinion that on the topic of disability in the community, the NPO is however the experts or source of this particular indigenous knowledge. Matlawe said that the NPO wants to be included and consulted in decisions that affect people with disabilities, and not have Government make decisions for them without consulting them first.

The focus group members indicated that the community, and in particular parents of disabled children, did not acknowledge the knowledge and experience the NPO had to offer and that they ignored correspondance, phone calls and meeting requests from the NPO in their attempt to reach out to them considering the well-being of the disabled beneficiaries.

*Summary:* The information gathered in the interview revealed that the constructs for cultural diversity, namely acknowledgement of cultural diversity and cultural freedom; strengthening of group identity; and indigenous knowledge are present at Tshwaraganang. The NPO did not consider culture as a hindrance in communicating with its stakeholders. The results however showed that the Private and Public Sector, and in some cases even the community, did not necessarily acknowledge the NPO’s culture and indigenous knowledge, specifically pertaining to disability.

#### **4.2.3.6 Cultural Diversity: Comparison between the NPOs**

The information gathered in the interviews and focus group discussions revealed that the constructs for cultural diversity, namely acknowledgement of cultural diversity and cultural freedom; strengthening of group identity; and indigenous knowledge are present in varying levels at all of the case study NPOs. All of the NPOs indicated that they were very accepting of different cultures amongst their beneficiaries and the community, and that they would not exclude someone from participation or communication based on their culture.

Mosaic however indicated that their Management Team often found it a challenge to balance Western and African culture in their daily operations, and that it has become easier with the inclusion of a Setswana Manager on the Management Team. Mosaic seems to have the most continuous contact between African and Western cultures, including international cultures like German and American, and indicated that it added value, but could also lead to tension and expectations that needed to adjust. Thakaneng indicated the NPO experienced some challenges with its organisational culture where not all of the staff members got along with each other.

From the interviews, it was deduced that the Private Sector sometimes made an effort to accommodate language when visiting the NPOs, but did not consider their organisational culture. During the joint focus group between members of the different NPOs (except Thakaneng), the NPOs were asked about organisational culture and their communication with the Private and Public Sectors. From this discussion, it emerged that most of the NPOs saw culture as a reference to race and language only, and did not clearly understand the concept of organisational culture or that this could influence their communication with the Private and Public Sectors. Mosaic was the only NPO who indicated, and explained to the other NPO participants present, that they as a NPO had a certain way of doing things as an organisation, but adjusted their communication, behaviour and even dress, according to what they thought would be appropriate and acceptable when attending appointments with different Private or Public Sector stakeholders. This was illustrated in the way that these NPOs noticed they had difficulty in gaining access to/or support from the Private Sector, but did not know why. Being very accepting and tolerant of different cultures and languages, the other NPOs did not at all consider culture as a possible barrier for them. However, the researcher believes that they do not realize how much of a barrier it could be in the NPOs' day-to-day operations, especially when communicating with the Public and Private Sectors. In this sense, not referring to only language and race, but also to culture as behaviour and shared meaning in an organisation.

All the NPOs indicated some way of strengthening their group identity when asked about teamwork. The information gathered from the NPOs supports the guided argument on cultural

diversity (refer to Chapter 2 for the detailed discussion and the resulting guiding argument under Section 2.2.5.3.3) that a shared value system and respect for differences will lead to increased trust, participation and empowerment. The NPOs who indicated participation and trust amongst their staff were also the ones who indicated a greater investment in strengthening their group identity through events like celebration of days or skills training.

The NPOs indicated that they acknowledge indigenous knowledge which members of their community have built up through experience, and regard it as a resource for the organisation, whether as educational entertainment, cultural advice or skills training. The information gathered did however not show a similar consideration from the Private and Public Sectors for the NPO's unique organisational knowledge or culture, with the possible exception of Thakaneng's ability to work with street children and Susan Luthuli as a longstanding community service provider, since these NPOs indicated the Sectors and the community would refer people or cases to them regularly.

#### **4.2.4 Empowerment**

The constructs for empowerment were identified as increased capacity; self-reliance; participatory behaviour; levels of empowerment (individual, organisational, community); Empowered NPO; Empowering NPO; Intra-organisational component; Inter-organisational component; and Extra-organisational component (refer to Table 2 under Section 3.3.2 in Chapter 3 for a detailed list of the constructs).

##### **4.2.4.1 Empowerment: Ikageng Day Care Centre for the Aged**

Note that because Susan Luthuli runs this NPO single-handedly, as a limitation, a focus group discussion could not be conducted, and information was thus only gathered from the semi-structured interview with her.

###### *a) Increased capacity*

From the information Luthuli shared about wanting to operate a nursing home, and the struggle to be accommodated by the Municipality with suitable premises to operate from, it would seem that she did not experience increased capacity to expand her services. In fact, she indicated that in recent years she has had less beneficiaries than what she used to have, and less resources with the passing away of her spouse, and the breakdown of the vehicle that they used to transport beneficiaries from their homes to the NPO and back. During the interview, she

indicated that she is not very reliant on the Public Sector, but seemed frustrated that it, specifically the DSD, had never subsidised her in her multiple years of service to the community. She also described an interaction between her and the DSD where she indignantly told them that she would operate and prosper with or without them, and would prove herself capable "with or without your subsidy forward we are going. Backwards never-ever" (Luthuli, 2015).<sup>4</sup> This illustrates her self-reliance and capacity to make her own decisions and choices, even if it means less access to resources available through the Public Sector. It does however not necessarily indicate an increase in capacity.

*b) Self-reliance*

During the interview Luthuli indicated that besides donations she received from churches and the Private Sector, she has operated the NPO alone for 20 years using her own resources. During this time, she relied on her pension, a small monthly fee she charged from the elderlies, donations and her own initiative of selling vegetables and second-hand clothing. She indicated that she had never received any subsidy from the Government, besides the property that the NPO operates from, which belongs to the Municipality and was made available to her. Although she is not self-reliant on resources, as she depends on outside help for donations and some services, it seems that she is mostly self-reliant in making her own decisions on how to run the NPO and provide her service to the elderly and other community members. It would also seem that she is a very self-reliant individual if she could manage the NPO for 20 years on limited resources, and have a good reputation in the community, while receiving continued donations from loyal donors.

*c) Participatory behaviour*

As mentioned under Section 4.2.2.1 Luthuli revealed participatory behaviour in the way she regularly engaged with a wide variety of visitors, interacted in two-way horizontal dialogue with them, and involved various stakeholders in different phases of the NPO's vegetable garden project. The regular visits and long-term support of many donors indicates that the NPO invests in relationship building. How she participates with the Elderly Forum to lobby Government for the rights of the elderly indicates a willingness to engage in problem-solving behaviour and participation in decision-making and collaboration.

---

<sup>4</sup> The researcher has since confirmed with a longterm donor and supporter of Luthuli that her NPO registration had lapsed in recent years, and this would disqualify her for possible funding from the DSD or Municipality.

d) *Empowered NPO*

Luthuli spoke with confidence about her NPO which she has managed and represented her life's work. Her self-reliance as indicated under point b) above, together with the lobbying or activism through the Elderly Forum, indicates signs of an empowered NPO (or more appropriately, empowered individual) when it begins to influence the bigger system (community or environment) it is part of (as discussed in Chapter 2 under Section 2.3.4).

e) *Empowering NPO*

From the information Luthuli shared, it seemed that her service to the community and especially the elderly has been longstanding and appreciated, as the community continue to refer people of all ages to her for either physical assistance or advice. It seems the NPO is never short of visitors. However, although the NPO provided much needed relief, it did not necessarily increase the capacity of the elderly or the community to function without her NPO. From the information, she shared in the interview she has trained some of her beneficiaries to follow the daily programme on how to care for the rest of the beneficiaries when she is not present. She however seems to keep community members, who are interested in taking over from her or working with her, somewhat at a distance. She was willing to give them advice if they started a similar project but, in her own NPO, she indicated they must wait until she cannot operate on her own anymore, before they step in. Therefore, although she has a positive influence on her beneficiaries and in her community, the results do not suggest that she is an empowering NPO.

f) *Intra-organisational component*

In the interview, Luthuli described some of her internal processes at the NPO and shared how she trained some of the other elderlies to follow the daily programme in caring for the beneficiaries when she was not present. She also explained how elderlies worked in the vegetable garden and how she and her Committee would plan outings for the beneficiaries in detail. This suggests structured operational functioning which enables the NPO to achieve its goals and operate smoothly on a day-to-day basis. This demonstrates that an intra-organisational component for empowerment is present, but the operations are heavily dependent on her as an individual to give direction and drive it.

g) *Inter-organisational component*

Luthuli is resourceful by reaching out to a variety of donors in order to accomplish her goals, which she would not have been able to do on her own. This is illustrated by the vegetable garden project where a variety of stakeholders were involved in providing resources and participating in various phases of the project. The Elderly Forum is also a good example of

reaching out to similar focused NPOs to lobby the Government together in order to have “a louder voice” or representation. These actions indicate an inter-organisational component for empowerment.

*h) Extra-organisational component*

Again, the Elderly Forum is an example of how the NPO is taking action in order to control the larger environment in which it operates, so that better services and policies can be provided to the elderly in the community. These actions indicate an extra-organisational component of an empowered NPO. The Elderly Forum’s actions have thus far unfortunately not resulted in successful advocacy, as they struggle to obtain feedback from the Public Sector, and they have not reached their goals. This suggests the NPO and Elderly Forum it is not yet empowered.

*i) Levels of empowerment*

The findings indicate that Luthuli is empowered at an individual level, as she is self-reliant and has the capacity to make her own decisions which impact on her life and those of her beneficiaries. The results however suggest that at organisational and community levels there is substantial scope for further empowerment to take place. At an organisational level, instead of having an individual focus, the NPO could be empowered to create a team of like-minded staff members or volunteers, to be even more effective, reach more beneficiaries and gain access to more resources. At a community level, the NPO is delivering a service in response to a need, and has aligned itself to collaborate with other NPOs to approach the Public Sector. However, Luthuli’s frustration in obtaining results or funding from the Government indicates that the NPO could be empowered to engage with the Public (and Private Sector) more effectively to the benefit of the community in the form of increased resources, policy change or better services.

*Summary:* From the information gathered from the interview the constructs of increased capacity, self-reliance, participatory behaviour and an empowered individual were present, but not at an organisational and community level. As this NPO is in essence an individual and not a group of staff members or volunteers, it seemed to be more empowered than empowering. Luthuli is providing a service in response to a desperate need, and is caring for and providing relief, but not empowering the beneficiaries or immediate community. Although the interview explored the signs of intra-, inter- and extra-organisational components of empowerment, and there is some behaviour that points to empowerment, the results revealed that the NPO is not in fact an empowered or empowering organisation, but rather an empowered individual.

#### **4.2.4.2 Empowerment: Mosaic**

##### *a) Increased capacity*

In the interview, L. Conradie indicated that over the years the NPO has experienced rapid growth in terms of resources, staff, volunteers and beneficiaries (by late 2015 Mosaic had expanded into the first phase of duplicating the Ikageng project in the Western Cape Province). This indicates an increased capacity to access resources and to make choices or decisions that influence their operations.

The focus group participants indicated that being part of the NPO has provided them with personal growth and self-definition, experience, skills, exposure to different cultures and some reality checks they would not have gained, without joining the NPO. Certain members explained how they knew they had personally made a difference in the lives of their beneficiaries. The results suggest an increased capacity on the part of the individuals in terms of personal growth, as well as on the part of the NPO as an organisation in terms of accessing resources and expansion.

##### *b) Self-reliance*

The focus group participants indicated their confidence in their abilities as Managers and the increasing capacity to be self-reliant in how the NPO manages its own affairs and reaches its own goals. During the focus group discussion, M. Conradie referred to the NPO's "hands off" management style which gave the Managers and volunteers the opportunity to use initiative, and make their own decisions. This indicates high levels of self-reliance in the individual Managers and volunteers involved in making their own decisions and manage their own operations in their respective NPO departments.

In both the interview and focus group discussions, it was indicated that Mosaic has managed to operate and grow without any funding from or much support of the Government. L. Conradie stated that they only relied on the Municipality for land allocation where the NPO could build houses, and on the DSD to handle adoption matters. Besides these instances, the NPO operated independently. As mentioned above under point a), the NPO experienced a rapid growth/expansion rate in terms of the NPO's number of staff and volunteers, donors, resources, physical infrastructure and beneficiaries, as well as side-income businesses. This is indicative of the organisation's independent management of its own systems and resources in an effective and self-reliant way.

c) *Participatory behaviour*

The NPO revealed participatory behaviour during the interview and focus group discussion, as discussed under Section 4.2.2.2, and especially in its Management Team where members regularly engage in brain storming and collective decision making.

In the interview, L. Conradie indicated that the NPO uses various communication channels, from meetings, training sessions, newsletters, Whatsapp groups, videos, to home visits in order to engage with their various stakeholders in a dialogic way. In the focus group, M. Conradie mentioned that he regularly visits donors, even annual visits to overseas donors. This indicates that the NPO invests heavily in relationship building in order to reach its goals. Even in cases where it would seem less successful, for example connecting with the Municipality or DSD, as shared in both the interview and focus group, the NPO does not give up on trying to make connections in order to solve problems for their operations such as gaining funding or resources. The results indicated that the NPO confidently participates with stakeholders and this behaviour should lead to empowerment.

d) *Empowered NPO*

As the above points a) to d) indicated, the NPO seemed to be confident in its ability to manage its own affairs and reach its own goals. The NPO experienced rapid growth while hardly relying on the Public Sector, and were skilled in communicating with the Private Sector to secure various local and even international donors. The focus group participants indicated their confidence in their abilities as individual Managers and their increasing capacity to be self-reliant in how the NPO operates. These results suggest an empowered NPO.

e) *Empowering NPO*

During the interview, L. Conradie indicated that she thought that Mosaic's beneficiaries could with the resources they have received (housing, training, experience), survive without the NPO and the larger community was not at all dependent on the NPO, despite the fact that they would miss some of the services such as the NPO's after-school programme. This could point to the NPO empowering the community with specific reference to the beneficiaries, but not the larger community as there was no participation or dialogue with them, as revealed in the interview (refer to Section 4.2.1.2 Dialogue; Mosaic).

In the focus group, most members seemed very confident, but not all the members expressed the same level of confidence in themselves or their ability to make a significant impact in the community. However, the group was quick to point out to them what a difference they had made, and especially in the NPO as an organisation. This could indicate that the NPO tries to

influence its various members and beneficiaries positively, but that they may not be effective in all cases. The results suggest that the NPO empowers its beneficiaries by increasing their skills, but not the community and not necessarily their management members. The NPO may rather rely on already skilled individuals in its management and volunteers and not necessarily increase their capacity further.

f) *Intra-organisational component*

In both the interview and focus group while describing the communication channels of the organisation with its stakeholders, the members also referred to its internal organisational structure, which included top management, mid-management, volunteers and staff. This seemed to indicate clear distinctions in roles and tasks. L. Conradie indicated in the interview that the NPO even had created side-businesses (for profit) with Managers and staff, to provide jobs for the beneficiaries. It was reported that these various structures all engaged in regular meetings, training and information sessions, which indicates a structured operational functioning. The NPO is well resourced in physical infrastructure (office space, common areas, Board Room, and equipment – all the property of the NPO) which enables the NPO to fulfil its goals. The results point to a well-established intra-organisational component of empowerment.

g) *Inter-organisational component*

Mosaic revealed participatory behaviour during the interview and focus group discussion, as discussed under Section 4.2.2.2 and mentioned a few NPOs they strategically collaborated with who were either focused on training and education, or orphan care and social work. The NPO collaborated with Tentmaker Ministries, with whom Mosaic started a private school attended by their beneficiaries, and Abraham Kriel Children's Home. L. Conradie also mentioned in her interview that they would refer family counselling matters to FAMSA, would share advice with Seeds, and benefitted from training provided by Khulisa – all NPOs also working in the Ikageng and Promosa area.

In the focus group, the participants confirmed that the NPO is very selective about collaboration with other NPOs, so as not to distract from their vision and core business of caring for orphans. The participants were of the opinion that there should be fewer, but more focused, NPOs, and that people interested in serving the community should join existing projects instead of starting new NPOs. In the interview, L. Conradie indicated that the NPO values relationships, especially with the Private Sector who provide the most resources to the NPO:

*"I would say our international Private Sector relationships are probably the most valuable Private Sector relationships that we do have outside of Mosaic. They definitely add the most value, not only in terms of money, but also in terms of volunteers" (Conradie, 2015).*

She also mentioned a very good relationship with the North-West University (Public Sector) with whom the NPO consults about its needs and challenges, resulting in advice from or referrals by the University.

The results point to an intra-organisational component of empowerment of the NPO, as it benefits from strategic relationships with other NPOs, the NWU, and the Private Sector in order to provide services, advice, donations and volunteers, which the NPO would not have had access to on its own.

*h) Extra-organisational component*

The extra-organisational component refers to actions taken by organisations to affect or control the larger environments of which they are a part. In Mosaic's case, it was indicated by the confidence of the CEO and the focus group participants that the NPO's orphan care model can be successfully duplicated in other townships in the country and that the NPO's services would help orphans to become independent individuals who aspire to becoming successful adults. The NPO provides housing, training, education, jobs, and care for orphans and families as alternative services to the Government's provision. It therefore points to an extra-organisational component of empowerment, but only to a select group of beneficiaries. The rest of the community is not involved, and the larger environment is not impacted.

*i) Levels of empowerment*

The information shared above implies that the NPO strives to achieve or inspire empowerment at individual, organisational and community levels. The rapid expansion of the NPO and duplication of the model in another province denotes empowerment at organisational level, while the regular training of staff and after school programme for children suggests individual empowerment of the staff and beneficiaries. By their own admission, the NPO can do much more to include the community in consultation, collaboration and participation and, in this way, empower the larger community.

*Summary:* The information gathered from the interview and focus group suggests that all the constructs for empowerment were present at Mosaic and that the NPO is empowered. The results however did indicate that the NPO could increase its dialogic participatory behaviour to include more high-level participation with other stakeholders, and particularly the community. The NPO does not seem to be as empowering, as it seems to think it is. Its focus on the

organisation's growth and selected beneficiaries could mean neglect of their own management members and exclusion of the community.

#### **4.2.4.3 Empowerment: NG Welsyn**

##### *a) Increased capacity*

The focus group participants indicated that they perform well in their jobs, but that they experienced stress due to what they felt are somewhat unrealistic expectations from the Head Office and DSD. They handle heavy caseloads of 150 families (as opposed to the standard of 60 to 80) per social worker, and are expected to fundraise, while being employed in half-day positions. As mentioned under Section 4.2.2.3 the NPO is prescribed to by their Head Office and DSD as to what themes and projects they are compelled to do. This could indicate that the individuals' and organisation's capacity to control their own operations and make their own choices is potentially decreased by obligatory compliance and heavy workloads, instead of being increased.

##### *b) Self-reliance*

The interview and focus group discussion showed that the members of the Potchefstroom NG Welsyn branch are confident in their abilities as individuals and as a team, and see themselves as an example to be followed by the other branches. The focus group participants also indicated that being part of the NPO has provided them with personal growth, life experience, and gratitude that they could make a difference in people's lives. It would seem that within the confines of DSD policy and expected compliance, they were self-reliant as individuals and as a team to manage their NPO office. The NPO did however rely on the infrastructure, systems and advice the Head Office provided and the conclusion can therefore not be made that the NPO is self-reliant.

##### *c) Participatory behaviour*

The focus group participants referred to their "participatory management" style (as referred to under Section 4.2.1.2) in the office, which implied that the input of everyone in the team is valued and necessary. In both the interview and focus group discussions, the NPO revealed successful participatory behaviour (as mentioned under Section 4.2.2.3) within their organisation, but to a much lesser extent with the Public and Private Sectors and community. The participants indicated that although they cannot collaborate with other NPOs on their cases or projects, they willingly collaborate with NPOs in the social work field in order to share

information, advice and referrals. The NPO however struggles to engage in high-level participatory behaviour with all its stakeholders and empowerment is therefore hampered.

d) *Empowered NPO*

The interview and focus group discussion indicated that the members of the Potchefstroom NG Welsyn branch are confident in their abilities as individuals and as a team, and see themselves as an example to be followed by the other branches. The participants were confident that the NPO is making a difference in individuals' lives. Although the participants did indicate that if the number of beneficiaries (their case files) were less, the NPO would feel more in control and could make a bigger difference in those lives with the resources available to them. Although the NPO staff are confident to perform and excel at their jobs, it does not seem that they have an increased capacity or self-reliance (as discussed under point b) above). Some initiatives they have started, like the 'Stop Feeding the Problem' project described under Section 4.2.2.3, do however indicate that they have the potential to be an empowered NPO.

e) *Empowering NPO*

The focus group participants indicated that being part of the NPO has provided them with personal growth, life experience, and gratitude that they could make a difference in people's lives. Although the participants expressed a positive attitude towards their work in the NPO, they did indicate some frustration and felt slightly overwhelmed by their workload and expectations from the Head Office and the DSD. Addressing these matters would give it the potential to make it an empowering NPO to their own staff and their community.

f) *Intra-organisational component*

In the interview, Erasmus indicated that every team member had a definite and clear role and task to fulfil, whether in daily operations or in specific projects they ran. Progress with projects was also officially noted in Meeting Minutes. The interview and focus group discussions showed that the NPO had a clear internal structure and operational functioning in terms of their roles and tasks, and what was expected of them from Head Office and DSD through regular meetings. An intra-organisational component for empowerment is therefore present in the NPO.

g) *Inter-organisational component*

In the interview, Erasmus indicated specific collaboration and relationships with organisations like the Chamber of Commerce, *Solidariteit* (an NPO) and OFM (a local radio station) regarding projects where these organisations would help them with advice, material goods or services, networking and, in the case of the media, raising awareness and spreading the word to the

larger community. With other social work NPOs like FAMSA, they would exchange advice or referrals of clients. These interactions with various stakeholders, as described in the interview and focus group, indicated their commitment to building relationships in order to reach their specific goals of fundraising and raising awareness. These relationships indicate an inter-organisational component for empowerment.

*h) Extra-organisational component*

The extra-organisational component refers to actions taken by organisations to affect or control the larger environments of which they are a part of and in NG Welsyn's case, the participants indicated in both the interview and focus group that they serve the community through their social work services and are confident that they are making a difference in individuals' lives.

*i) Levels of empowerment*

Empowerment can take place on an individual, organisational, and community level, but because the results indicate that most of the constructs of empowerment are not present, it would seem that the NPO engaged in none of these levels effectively. The individual participants willingly engage in participatory behaviour and have a positive attitude, which means the NPO has a huge potential to create empowerment, especially on an individual and organisational level if some matters are addressed, to increase capacity and self-reliance.

*Summary:* The results showed intra-, inter- and extra-organisational components of empowerment and the participants indicated their confidence in their abilities to do their jobs and serve the community. Although these signs indicate that the NPO has the possibility to be empowered and empowering, the lack of self-reliance and a decreased capacity means that it is not. The possibility exists that the NPO could be empowered if the Head Office and DSD especially, did not inadvertently decrease the NPO's capacity and self-reliance through its strict regulatory governance and high workload expectations.

#### **4.2.4.4 Empowerment: Thakaneng Project**

*a) Increased capacity*

In the interview, the Manager indicated that the DSD "enables" the NPO with funding, support, mentorship, training of the staff in childcare, and a good relationship between the Managers and the DSD representative. The Manager said he was confident and satisfied that the NPO is making a significant difference in many children's lives, and that he personally has made and has seen a positive difference in the organisational processes of the NPO since he joined the

organisation. This points to an increased capacity of the NPO and its beneficiaries to gain resources.

During the focus group discussion when inquiring about the participants' individual confidence in their jobs, as well as their greatest needs in order to reveal their level of empowerment, the participants seemed overwhelmed with the amount of work they had, and indicated that they felt out of their depth when trying to help the children with their schoolwork. The participants shared that many had themselves not completed school. The participants also indicated that they would appreciate monthly counselling or debriefing sessions and explained that continually caring for troubled children and constantly having to break up fights between the children wore them down emotionally. The participants also expressed the need for better communication amongst themselves. This infers that the individuals in the NPO do not experience an increase in capacity.

*b) Self-reliance*

As indicated above under point a) the NPO appears to be very reliant on the DSD for funding, direction, training, and the Manager indicated that it receives regular visits from the DSD to make sure that the NPO is compliant to its regulations. As also indicated under Section 4.2.1.4, the Board of Directors did the planning and made decisions on behalf of the NPO and that the Managers then implemented it with the staff and volunteers. It therefore implies that the NPO does not operate self-reliantly, but strictly according to the Board and DSD's direction. In the interview, it was shared that staff daily report to the Manager to get their instructions for the day. Therefore, self-reliance of the staff members seems to be minimal. The Manager however indicated that he is confident that he has made a huge difference in the NPO through decisions he has made, and this could indicate self-reliance on his part.

*c) Participatory behaviour*

In the interview the Manager revealed minimal participatory behaviour from the NPO, and indicated no collaboration with other NPOs as of yet. He did indicate that he, as an individual, has visited other NPOs to see how they operate, and mentioned that the DSD has suggested an NPO Forum in order for NPOs to benefit from collaboration.

As discussed under Section 4.2.2.4 the NPO's participation with stakeholders seems sporadic and low-level, limited to sharing information and receiving donations. In most cases the NPO staff members seem to be excluded from decision-making and planning, while the DSD's involvement also does not include the NPO in collaboration or collective decision-making, but focuses on compliance. This suggests that the opportunity for the NPO and its members to

engage in participation, which could lead to empowerment, is very limited. The NPO's willingness to participate is also low, as illustrated by the very shy and wary focus-group participants and the NPO's consequent absence at the combined focus group discussion with the other case study NPOs. This lack of participatory behaviour supports the researcher's guiding argument that participation leads to empowerment and empowered people participate more, by indicating the opposite is also true – a lack of participation leads to a lack of empowerment and an unwillingness to participate.

d) *Empowered NPO*

Although the Manager expressed confidence in himself and the NPO during the interview, the focus group participants did not report self-reliance or confidence. They indicated that they felt a lack of capacity to deal with their jobs effectively and that they experienced emotional strain. The staff also indicated that they felt stressed whenever the DSD representative visited the NPO. This indicates that the Manager might be an empowered individual, but the NPO is not empowered.

e) *Empowering NPO*

The NPO seems to be passionate about its cause and empowering to its beneficiaries, who are rehabilitated and cared for and have the opportunity to go to school and turn their lives around. The focus group participants indicated that the rehabilitation process takes time, and they seemed overwhelmed by their workload and the emotional strain of it. As indicated above under point d), the NPO is not empowered and it does not seem to be empowering its staff members or the community.

f) *Intra-organisational component*

During the interview, the Manager referred to the clearly defined roles of staff members and that everyone had to start the day by reporting to the supervisor to receive their tasks for the day, and that staff received training according to the DSD's Child Protection Act. This could indicate an intra-organisational component of empowerment, since the organisational structure provides the infrastructure for staff to achieve their goals. The focus group discussion, however, indicated that the staff felt overwhelmed and out of their depth, asking for more resources in the form of more staff, skills training and "emotional debriefing". The internal organisational structure therefore did not translate into empowerment in this case.

*g) Inter-organisational component*

As already mentioned under point c) above, as well as under Section 4.2.2.4, the interview and focus group discussion reported that they did not collaborate with other NPOs and that participation with stakeholders were minimal. Besides the good relationship that the Manager indicated with the DSD, he did not allude to other significant relationships with any other organisations. He did however mention that he, as an individual has visited other NPOs to see how they operate. He mentioned the DSD has also suggested an NPO Forum in order for NPOs to benefit from collaboration. Thus far, the NPO does not show an inter-organisational component of empowerment.

*h) Extra-organisational component*

An extra-organisational component of empowerment refers to actions taken by organisations to affect or control the larger environments of which they are a part. In the NPO's case, both the Manager and the Staff seemed confident that they made a difference to their beneficiaries' lives and that the NPO does deliver a service to the community by rehabilitating the street children. The NPO does deliver a service, but does not affect the larger environment through policy change or successful advocacy. An extra-organisational component of empowerment is therefore minimal at best.

*i) Levels of empowerment*

Empowerment can take place at individual, organisational and community level. The interview and focus group discussion indicated that the Manager could possibly be empowered at an individual level, but that the staff and the NPO were not. The Manager indicated that the NPO shares advice with parents of problem children in the community and demonstrates some dialogical interaction with the community, but it does not yet indicate community level empowerment.

*Summary:* From the information gathered from the interview and focus group, most of the constructs for empowerment were absent at Thakaneng. The Manager revealed an increased capacity and self-reliance, but the Staff did not, and empowerment seemed to be limited to the Manager as an individual. It could imply that the Manager as an individual is empowered, but he may struggle to create an environment to transfer this positive empowering energy to the rest of the Staff. Alternatively, it could indicate a 'power-over' relationship between the Manager and Staff. The NPO showed no inter- and intra-organisational component of empowerment, with a possible, but minimal, extra-organisational component. It would therefore seem that the NPO is not empowered.

#### 4.2.4.5 Empowerment: Tshwaraganang Centre of People with Disabilities

##### a) *Increased capacity*

In both the interview and focus group discussion Tshwaraganang's participants reported that they receive funding from the Lotto and various Government departments, as well as support from the DSD who not only provides funding, but also advice, help with reports, medication, therapy, aids like wheelchairs, etc. The Manager indicated in the interview that he equipped the staff with skills by sending them to various workshops; that he was constantly approaching the DSD with proposals for more workshops; and helped them apply for stipends from the DSD. This could indicate the increasing of capacity on an individual and organisational level.

The focus group participants expressed that they did everything they could and knew how to, but that they would appreciate more training and would like to know from experts if they are treating their disabled beneficiaries in the right way and teaching them correctly. This is an indication of the desire for increased capacity and self-reliance from the Staff in order to make a difference for their beneficiaries.

##### b) *Self-reliance*

In the interview, the Manager explained the NPO's dependence as

*"It's 100% on the Government, because eh without Government what is it that we can do? Yes, we can raise our own funds, but it is... it is more important that we must have your Social Development at our back at all times".*

The focus group participants indicated that they rely on the DSD, but would like assistance from the Department of Health and Department of Education (DoE) too, expecting a higher dedication from the Government to visit them proactively, and not to wait for the NPO to first contact them. The results indicate that the NPO makes its own decisions, but has to be compliant to the DSD and is heavily reliant on the Public Sector for resources and direction. The NPO is therefore not self-reliant.

##### c) *Participatory behaviour*

In both the interview and focus group discussions, the NPO revealed participatory behaviour (as mentioned under Section 4.2.2.5) amongst its own members especially and to a lesser degree, with the Public Sector and community. The NPO's members confidently engaged in collaboration and collective decision-making amongst each other throughout their projects. With the rest of the stakeholders however, it appears there is minimal low-level participation as they are not involved in decision-making with the NPO, and vice versa. The NPO indicated that although it reached out and tried to build relationships, some stakeholders ignored them. The

participatory behaviour amongst their Staff indicates potential for empowerment, but it has not carried through to other stakeholders. The NPO struggles to engage in high-level participatory behaviour with all its stakeholders and empowerment is therefore hampered.

d) *Empowered NPO*

In the interview, the Manager, as well as the focus group participants indicated that they were confident that they were making a difference in the lives of their beneficiaries, and indicated that their NPO was unique in Ikageng, as the only Centre of its kind operating in the community. The focus group participants, however, pleaded for more involvement from the Government, as one participant explained, “*we are willing to do whatever we can, if only they would assist us*”. This indicates increased reliance instead of self-reliance, and indicated that they expected the Public Sector to increase the NPO's capacity for them. The results therefore indicate that the NPO is not empowered.

e) *Empowering NPO*

Point d) above indicated that the NPO is not empowered but that it has the potential to be, as the individual participants expressed confidence in the NPO and themselves, as well as a desire for more skills training and a willingness to participate. They seemed passionate about wanting to make a difference in the lives of their beneficiaries and the community.

f) *Intra-organisational component*

The focus group participants displayed a shared vision and passion in the focus group, and the Manager indicated in the interview that he equipped them with skills by sending them to various workshops and was constantly approaching the DSD with proposals for more workshops. They also indicated an organisational structure in introducing their roles in the focus group discussion. They however expressed a need for more resources and training in order to reach their goals. These results indicate a willingness to engage in proactive behaviour to achieve their goals, which suggests an intra-organisational component for empowerment.

g) *Inter-organisational component*

Matlawe indicated in the interview that the NPO collaborates with other NPOs, e.g. Love Life, for providing workshops, team building and life skills training to the beneficiaries. This does not necessarily indicate a shared decision-making process, but it enhances the NPO's skill set to provide training to its beneficiaries. This indicates an inter-organisational component for empowerment.

#### *h) Extra-organisational component*

The Manager and focus group participants described how they benefitted the beneficiaries by advocating for the rights of the disabled and providing day care, skills training and help with accessing disability grants, aids such as crutches, hearing aids or wheelchairs and obtaining employment. In both the interview and focus group discussion, the NPO participants were very confident that they created awareness, advocated for the rights of the disabled, and provided a much-needed service to the community. They shared how they would have awareness campaigns at the taxi ranks and via the use of the local radio station, Aganang FM, and how the Manager represented people with disabilities on different forums. This indicates an extra-organisational component for empowerment.

#### *i) Levels of empowerment*

The results indicate that the NPO strives to be empowering to its own members and beneficiaries, through skills training, which indicates individual empowerment. Since the NPO is however extremely reliant on the Public Sector to increase its capacity and resources, it is not empowered at organisational level. Through their awareness campaigns, there is the potential for empowerment at community level, but since participation is minimal and low-level, it does not qualify as empowerment.

*Summary:* The information gathered from the interview and focus group shows that not all the constructs for empowerment were present at Tshwaraganang. The NPO does indicate an inter-, intra- and extra-organisational component for empowerment, and therefore has the potential to be empowered if it was self-reliant and could engage in high-level participation with its stakeholders. Participatory behaviour is hampered, as the NPO does not engage in collaborative decision-making with its stakeholders, and some stakeholders even seem to actively ignore the NPO. The NPO is heavily dependent on the Government for resources and direction. Results therefore indicate that the NPO does not seem to be empowered.

#### **4.2.4.6 Empowerment: Comparison between the NPOs**

From the information gathered from the interviews and focus group discussions with the five case studies, it seems that only Mosaic is an empowered NPO, as it indicated all the constructs of empowerment. Although the case studies all engaged in necessary services to the community, none of the NPOs were as empowering as they thought they were, since they included very few stakeholders, if any at all, in dialogic and high-level participatory behaviour. Their focus was limited to their own beneficiaries, which meant that the larger community did not

necessarily benefit from the NPOs' services. Moreover, while their services are needed, it did not necessarily increase the beneficiaries or community's capacity to make decisions or become self-reliant.

Most of the other NPOs indicated a potential to be empowered, since they demonstrated some or all three of the inter-, intra- and extra organisational components for empowerment. The lack of self-reliance and the dependence on the Public Sector was their biggest impediment to empowerment. It seems that NPOs with more donors and from a larger variety of Sectors are less dependent on one source, are therefore more self-reliant, and have the increased capacity to access more resources and the freedom to make their own decisions on how to operate the NPO. The case studies, which reported to be heavily dependent on the DSD like Tshwaraganang, Thakaneng, and to a lesser degree NG Welsyn, demonstrated less autonomy and have to strictly comply with the prescriptions of the Department. Mosaic and Ikageng Day Care Centre for the Aged indicated they operated according to their own decisions and systems. It would seem that some NPOs, most noticeably Tshwaraganang, were completely dependent on the Public Sector and felt it was the obligation of the Public Sector to increase the NPO's capacity for them. None of the NPOs indicated this same level of expectation of the Private Sector.

The theory on participatory behaviour in reference to empowerment suggests that participation leads to empowerment and empowered people participate more (refer to Chapter 2 for the detailed discussion on participation and the resulting guiding argument under Section 2.2.5.3.2., as well as the discussion on empowerment leading to self-reliance, and the resulting guiding argument under Section 2.2.5.3.4). The information gathered from the interviews and focus group discussions seems to support this argument. The case study NPOs that engaged in frequent participatory behaviour with their own members, and with a variety of stakeholders, also collaborated with other NPOs. They revealed more of the constructs of empowerment and confidently participated in the interviews and focus group discussions. The converse is the case with Thakaneng who engaged in minimal participation, less frequent staff meetings than the other NPOs, and did not reveal any of the constructs of empowerment. Thakaneng's focus group participants seemed wary and meek and the NPO was absent at the joint focus group discussion with all five the NPOs. This suggests that a lack of participation leads to a lack of empowerment and an unwillingness to participate, or put differently, less empowered people participate less.

The joint focus group discussion revealed that the participants were positive about NPOs collaborating and that they could benefit from shared knowledge; even though it seemed that, most NPOs did not collaborate that extensively.

With reference to Chapter 3, Section 3.3.2, and Table 2 Concepts and Constructs Gathered from Literature Study, empowerment can take place at individual, organisational and community level. The positive energy and power (“power to” and “power from within”) the NPOs generate through being empowered themselves, are used to positively influence their volunteers or employees, and the community they serve to increase their skills and gain a sense of control over their own lives. The empowered NPO empowers its members and the community to make purposeful choices and increase their capacity to transform these choices into desired actions and outcomes e.g. identifying and solving community problems (intra-organisational component). Successfully empowered NPOs strive to achieve or inspire all of these levels. According to this argument, if Mosaic included the larger community in participation, it could be regarded as more empowering. If NG Welsyn and Tshwaraganang could increase their capacity, self-reliance and be less dependent on the Public Sector, they could also be considered as empowered NPOs.

Susan Luthuli could be seen as an empowered individual, but in not inspiring more people to join the NPO, it is hard to describe her NPO as an organisation. It would seem that Thakaneng might have an empowered Manager, but it seems the Manager struggles to create an empowering environment to the NPOs staff as individuals, or could possibly have a "power-over" relationship towards the staff.

### **4.3 RESULTS FROM THE PRIVATE SECTOR**

Interviews with three participants representing the Private Sector (private businesses as well as the Potch-Tlokwe Chamber of Commerce) were conducted in order to answer the research question “*How does the Private Sector view the empowerment process of local NPOs?*”

#### **4.3.1 Dialogue**

The constructs for dialogue were identified as two-way horizontal communication; shared meaning/context; interpersonal communication; conscientisation and praxis; and mutual trust and respect (refer to Table 2 under Section 3.3.2 in Chapter 3 for a detailed list of the constructs).

##### *a) Two-way, horizontal communication*

The interviews revealed that when NPOs engage in dialogue with the Private Sector, it is not on equal terms. As Participant C pointed out, the asker is at a disadvantage and the advantage lies

with the party being asked. Participants A and B also confirmed that the NPOs and business are not equal partners, but that communication and involvement are on the Chamber's/business' terms and the Chamber would purposefully keep the NPO at a distance, in order to protect the businesses' time and not have them contacted directly by the NPOs. This indicates that two-way horizontal communication is impeded, as both parties do not have equal opportunity to speak or listen, unless the party being asked (the Private Sector) allows it.

*b) Shared meaning/context*

According to the theory (refer to Chapter 2 where it is discussed in detail under Section 2.2.5.3.1 and the resulting guiding argument) the intention of dialogue is to ideally create a shared meaning and context for problems or ideas being discussed between the parties, and to understand the other party's background and goals. The information gathered from the interviews however, indicates that the Private Sector participants were of the opinion that the NPOs did not realise the two Sectors operated in completely different contexts. Participant C illustrated this by commenting that NPOs and the Private Sector are not speaking the same "lingo", and that NPOs did not realise that their requests would probably go through numerous people in a business, before it reached the owner who makes the decisions on how money will be spent. Their correspondence therefore needs to stand out, or it may be lost between masses of other and more urgent correspondence. Participant A referred to a "climate difference" and that NPOs operated in "another world" from the Private Sector. Participant B was of the opinion that NPOs' lack of knowledge or skills to engage professionally impeded their communication and credibility to the Private Sector, and the NPOs did not realise this. She gave examples of what she considered as NPOs acting unprofessionally e.g. showing up without appointments, not following up verbally on a written request, or presenting hand written requests on scraps of paper, instead of formal correspondence on a letterhead.

Participant A seemed to imply that the Private Sector tried to understand the goals and context of the NPOs, but the NPOs did not put in the same effort as the Private Sector to either promote or explain their own cause and context to the Private Sector or to try to understand the Private Sector's context and goals.

The results indicate that a shared meaning or context is not reached between NPOs and the Private Sector and it appears that the NPOs lack the information, skills or education to realise this and present themselves better.

c) *Interpersonal communication*

As already mentioned under point a) above, two-way horizontal communication is impeded by a lack of trust and that the Private Sector does not give the NPO an equal opportunity to engage in dialogue. In the interviews, the participants indicated that NPOs did communicate with the Private Sector, and that the participants themselves are inundated with requests from NPOs to donate to their causes. Participant C indicated that he has only ever been approached by NPOs via e-mail, and would prefer personal contact, but only through an introduction by someone whom he already knows and trusts. Participants A and B indicated that they would be approached by NPOs telephonically, in writing, or personally, but that they first do a background check to see if an NPO can be trusted, and thereafter engage in dialogue. This confirms that although the Private Sector participants indicated that they preferred interpersonal, face-to-face communication, they would only engage in it if they felt they could trust a NPO.

d) *Conscientisation and praxis*

The information gathered in the interviews suggested that collective conscientisation and praxis between the Private Sector and NPOs was extremely rare. Participant C said that he has been asked for funding, but never to participate or problem-solve in an NPO's project, while Participant B said the NPOs did not "dream" with them (the Private Sector) – referring to collaboration and a long-term relationship. Participant A indicated that once the Chamber of Commerce received a NPO's request, the Chamber would reflect on the problem and then decide on how, through its business contacts, it could provide either services or products in lieu of money. The NPOs were not included in this reflection or decision-making process. It would therefore seem that NPOs did not want or think to ask the Private Sector to engage in a collaborative problem solving or action regarding developmental needs, but their expectations are focused on the provision of funding or resources only. The Private Sector seemed to be open to the idea of being included in projects by the NPO, but that they did not trust the NPOs to include them in the decision-making of how much or what kinds of resources it would provide.

e) *Mutual trust and respect*

It seems that trust and a personal relationship are a huge factor in the Private Sector's willingness to engage with NPOs. Mutual trust and respect are earned over time and the information gathered from the interviews indicates that the Private Sector is very distrustful of NPOs at first. As mentioned under point c) above, Participant C indicated that he would prefer personal contact above written requests, but only via an introduction by someone he already knows and trusts. Participants A and B indicated that they would be approached by NPOs

telephonically, in writing, or personally, but that they first do a background check to see if an NPO can be trusted, and thereafter only engage in dialogue.

Participant A indicated that he, personally and in representing the Chamber or PCF (Potch Community Forum), would first have the NPO complete a form for background information, and would then engage in interpersonal, face-to-face communication with the NPO. This included visiting the NPO's premises and physically checking for himself to establish context and truth in order to confirm that the NPOs *"are who they say they are, they do what they say they do, and to make sure the money or resources acquired for them are well spent and will make a difference"*.

Both Participants A and B indicated that because a NPO needs money or resources from the Private Sector, it's interaction would be friendly, respectful and grateful at all times. While this may mean they are on good terms, it does not necessarily indicate trust or a relationship. Participant B shared her personal experience was that in the odd cases of longer-standing relationships with NPOs which resulted in dialogue, trust and respect, this was built over a timespan of more than two years. The results therefore indicate that the Private Sector does not treat NPOs as equal partners in the communication process, because of a lack of trust.

*Summary:* From the above information shared by the Private Sector participants, it would appear that in general none of the constructs of dialogue were present in the communication between NPOs and the Private Sector, as two-way horizontal communication could not take place between unequal partners who did not trust each other or shared the same contexts. The participants were of the opinion that the Private Sector tried to have consideration for the NPO's context, but the NPOs did not have consideration for, or an understanding of the Private Sector and did not even realise that the two Sectors operated in completely different contexts. In the rare cases that two-way horizontal communication was attained, the parties had known each other for a long period and had established trust and a shared context over time. A shared context and trust are therefore huge determining factors as to whether dialogue will take place or not.

#### **4.3.2 Participation**

The constructs for participation were identified as dialectic communicative process; levels of participation; participation in planning; participation in implementation; participation in evaluation; participation in benefits; and collaboration and collective decision making (refer to Table 2 under Section 3.3.2 in Chapter 3 for a detailed list of the constructs).

a) *Dialectic communicative process*

Participant A indicated in the interview that dialectic communication did take place between the Chamber and the NPOs who were helped, but only on a needs basis. This could imply that the parties did not communicate unless there was a need for it. According to Participant A and Participant B's descriptions of contact with NPOs, it appears as if, in some cases, the Chamber is doing more to engage in the dialectic communicative process than the NPOs themselves. While the NPOs make the initial contact, the participants indicated that it is the Chamber who follows up, and physically visits the NPOs to gather more information regarding their operations and projects. Participants A and B indicated that they kept communication with NPOs interpersonal and very informal in order to foster relationships. Participant A indicated that communication via e-mail was ineffective in getting dialogue started, and that he preferred face-to-face contact or telephone calls. Participant C indicated that he hardly ever receives dialectic communication from NPOs beyond requests for donations, followed by thanks if a donation was made. Ostensibly the NPOs did not engage in dialectic communication successfully and could do more to share information with the Private Sector as stakeholders.

b) *Levels of participation*

When asked if NPOs involved the Private Sector in participating in their projects Participant C confirmed the he has only ever been asked for donations and has never been approached to be involved in any projects or project stages (planning, implementation, evaluation, benefits) whatsoever. Participant A indicated that after the NPO approaches the Chamber, the Chamber planned what it would provide without any participation with the NPO. Participant C was of the opinion that if businesses were better informed as to where/how to get involved locally, helping NPOs, they would. This seems to indicate that NPOs do not communicate very extensively with the Private Sector, but have a few go-to businesses and the Chamber who they approach regularly. It appears that not even low-level participation, such as information sharing to the wider Private Sector is therefore achieved.

Participant B indicated that in her experience the NPOs are very possessive over their project(s), and while the NPOs appreciate help in the form of money and/or resources, they rarely invite or allow further involvement from the Private Sector regarding planning, decision-making or evaluation of projects. Participant B speculated that the NPOs fear they will lose control over their projects, and that the Private Sector will take over.

According to the guiding argument, high-level participation of collaboration and collective decision-making is the only form of participation that leads to empowerment and self-

management. The results indicated that neither the Private Sector nor the NPOs have been open to high-level participation with each other.

c) *Participation stages: planning; implementation; evaluation; benefits:*

As mentioned under point b) above it seems that NPOs rarely invite the Private Sector to be involved in projects beyond providing funding or resources. None of the participants indicated that they participated with NPOs in the planning stage of projects, or were approached to identify developmental needs and provide solutions. Participant A indicated that the Chamber had collaborated with some NPOs in the implementation phase of projects, if the help the Private Sector provided was in the form of a service rendered like installing a resource or providing labour. He however confirmed that the Private Sector did not and would not involve a NPO in the business' side of planning as, in his experience, the more resources or higher the budget a NPO realises a company has, the more it expects and demands from the business, and will then adjust its initial project size or needs accordingly.

Participant B's opinion was that few NPOs evaluated their own projects. This means the participation stage of evaluation is not even an option to get involved with.

In the benefit stage of projects Participants A and B indicated that the direct beneficiaries and the community participate in the benefits of having NPOs provide for an on-going need, and that Potchefstroom benefits from having NPOs as these service providers. They indicated that the Private Sector could benefit from receiving B-BBEE (Broad-Based Black Economic Empowerment) scorecard points and tax rebates when businesses support NPOs. The participants however indicated that few NPOs knew they could be beneficial to businesses in this way, and did not market their NPO's services as such. Most NPOs' approach for donations resembled begging, which the Private Sector did not like.

NPOs inviting the Private Sector to participate in projects are therefore rare and, when approached by an NPO, the Private Sector would independently plan how or what would be provided to the NPOs. This results in support of the NPO, but participation does not then actually occur.

d) *Collaboration and collective decision-making*

Both Participant A and Participant B confirmed that from their experience NPOs rarely have a similar vision and do not easily collaborate with each other. They mentioned that in the few cases they have observed, collaboration was unsuccessful as the discord between the NPOs was greater than the common goal. Both these participants expressed the opinion that NPOs are in competition with each other for the same resources. Participant B illustrated this by

describing an NPO event hosted by the Chamber with the intention of informing the NPO Sector of possibilities for funding and providing advice on how to approach businesses. The event ended in altercation as the different NPOs competed in outdoing each other as to the severity of their circumstances and needs, in order to gain funding.

Participants indicated that collaboration and collective decision-making between the NPOs and Private Sector are extremely rare, with the exception of NG Welsyn with whom Participant A and Participant B mentioned that the Chamber was involved here in collective planning and conscientisation over social issues in Potchefstroom. As mentioned under point b) above, the Private Sector experienced the NPOs as very possessive over their project(s) and, while the NPOs appreciate help in the form of money and/or resources, they rarely invite or allow further involvement from the Private Sector. The NPOs possibly fear a loss of control over their projects, and that the Private Sector will take over.

*Summary:* According to the information gathered from the three participants very few of the constructs for participation were present in the communication between the Private and NPO Sectors. It seems that some dialectic communication transpired between the Private Sector and NPOs, but that there was hardly any participation. From the participants' descriptions, it seems that participation is discreetly blocked by both the Private Sector and the NPO, not allowing the other party get too involved. It would seem that the different Sectors do not trust each other, and that the NPO possibly feared that the Private Sector would take over their projects, while the Private Sector feared a too big an expectation and demand from NPOs for resources to be provided. In the case where participation occurred, it was usually low-level information sharing and consultation. Very rarely did participation reach high-level collaboration and decision-making. It was reported that the NPOs sometimes involved the Private Sector in physical participation in the implementation phase of projects, when the help provided was installation of resources or labour. The NPO's beneficiaries and community were included in the participation in benefits stage, but there was untapped potential for benefit to the Private Sector as well.

According to the literature study on participation (refer to Chapter 2 for the detailed discussion on participation and the resulting guiding argument under Section 2.2.5.3.2., as well as the discussion on empowerment leading to self-reliance, and the resulting guiding argument under Section 2.2.5.3.4), low-level participation of information sharing and consultation does not lead to empowerment. Only high-level forms of collaboration and empowered participation, when participants are part of the decision-making through the whole of a project, will lead to empowerment and self-reliance. The interview participants indicated that this rarely happened, and this means empowered participation between the Sectors is largely missing.

### 4.3.3 Cultural Diversity

The constructs for cultural diversity were identified as acknowledgement of cultural diversity and cultural freedom; strengthening of group identity; and indigenous knowledge (refer to Table 2 under Section 3.3.2 in Chapter 3 for a detailed list of the constructs).

#### a) *Acknowledgement of cultural diversity and cultural freedom*

Participant A and Participant B indicated that they experience the NPOs, especially those run by black people from the community, as very accepting of cultural diversity and freedom. The NPOs seem to give people space to be different and live in harmony with various cultures. The participants from the Private Sector, although reporting a big cultural difference between the Sector and the NPOs, said they respect the culture and character of the NPOs.

Participant A indicated that the Chamber puts effort into understanding the NPO's culture when it performs a background check, and that it was not the Chamber's goal to change the NPOs' culture when working with/supporting them. Participant B indicated that every NPO's vision and focus differs and that this should be taken into consideration by the other Sectors. Interestingly, Participant B indicated that an unfair perception of NPOs exists, which she calls the "charity mentality". This perception is that NPOs are supposed to be poor and its members have to do everything for free. According to this once NPOs are perceived as growing and being successful, they are suspected of making money for themselves, and not serving the community. Her perception is that NPO workers are not recognised as other professions of deserving their wages for the work they are doing.

From the information gathered in the interviews cultural diversity, although respected, does create a communication challenge. Besides the language and background, the organisational culture and specific perceptions of each other between the NPO and Private Sector have the possibility of tension and distrust exists. Participant A indicated that the Private Sector experience that NPOs perceive the Private Sector as rich and the answer to all their problems, and have a continued expectation to be helped. He indicated that the reason why the Private Sector is not forthcoming about their budgets for social upliftment, or including NPOs in their planning for community development, is that in his opinion every NPO is out for its own gain and would not be very accommodating if they realised a business helped other parties too. He experienced NPOs as almost expecting to have an exclusive claim to the resources available.

Participant C is of the opinion that a massive communication gap, in terms of organisational culture and context exists. He stated that businesses work with facts and figures and it needs

proof of where their money is going, while NPOs can't always relate to that. He reiterated - *"They don't speak the same lingo"*.

Although the Private Sector participants indicated that the NPOs are very accepting of cultural differences, as cited under Section 4.3.1 point b) the participants were of the opinion that the NPOs are unaware of the fact that the two Sectors operated in completely different contexts, with different values and customs. This suggests that even if the Private Sector acknowledges, accepts, tolerates and respects that every NPO is unique and different, and has its own organisational culture, they would still experience communication and participation challenges, because the NPO Sector does not realise the same is true of the Private Sector.

All three the participants indicated that it was not only cultural differences which created challenges in communication between the NPOs and Private Sector, but also different education levels. They indicated that NPOs could be empowered by education and skills training.

*b) Strengthening of group identity*

The participants indicated that the NPOs they have worked with each revealed a strong group identity and operated well as teams, indicating the organisational cultures of the NPOs. As already mentioned under point a) above, Participant B indicated that every NPO's vision and focus differs and that this group identity should be taken into account by the other Sectors.

*c) Indigenous knowledge*

It would seem that the participants respect the work and experience of the NPOs in providing a service to the community, but indigenous knowledge was not acknowledged. Some participants seemed stumped by the question as to how the Private Sector viewed the NPOs' indigenous knowledge. From the interviews, it would seem that indigenous knowledge of the NPO or community was not considered relevant to the communication for social change process or corporate social investment process by either the Private or NPO Sectors. Participant B indicated that it would take time and relationship to get to that level of understanding and, that most businesses would rather just donate money, than get involved in relationship-based support. Participant A pertinently said that he would not include an NPO in their planning, because the NPO would not be objective and would want all the available resources allocated to itself.

*Summary:* From the information gathered in the interviews, it appears that the constructs of cultural diversity and cultural freedom were present in the communication. The Private Sector experienced the NPOs in general as accepting of cultural diversity and cultural freedom, and

identified a strong group identity among them. However, although the Private Sector acknowledges and respects the fact that NPOs are different, the NPOs are unaware of the fact that the two Sectors operate in completely different contexts, with different values and customs. The NPO's indigenous knowledge was not acknowledged or relevant to the Private Sector. The reality of survival and need amongst local NPOs, and the differences in organisational culture and education levels of the NPOs versus the Private Sector still poses enormous challenges in communication, impeding participation and trust amongst the parties. Therefore although the guiding argument on Cultural Differences as concluded from the theory (refer to Chapter 2 for the detailed discussion and the resulting guiding argument under Section 2.2.5.3.3), provides a guideline, it does not provide an answer as to how to overcome these significant differences between the NPO and Private Sectors, and does not clearly point the way to empowerment.

#### **4.3.4 Empowerment**

The constructs for empowerment were identified as increased capacity; self-reliance; participatory behaviour; levels of empowerment (individual, organisational, community); empowered NPO; empowering NPO; intra-organisational component; inter-organisational component; and extra-organisational component (refer to Table 2 under Section 3.3.2 in Chapter 3 for a detailed list of the constructs).

##### *a) Increased capacity*

Although the participants could not comment on the increased capacity of NPOs without being closely involved, they did indicate that they preferred to get involved with NPOs who are confident, self-sufficient, have a kind of vision and mission, with evidence of some organisational structure, having already made somewhat of a difference in the community, and have other donors too. This indicates that the Private Sector prefers working with NPOs who shows signs of an increased capacity to make their own decisions to control their own lives and operations.

Participant A also stated that the Chamber would only get involved with NPOs who are registered with the DSD, as their registration indicated that the NPO has some formal organisational structure and made them more trustworthy. The participants all indicated that the NPOs are needed in the community and make an difference, but it is difficult to measure the degree of impact. The participants indicated that the Private Sector likes to see measurable results, and is willing to fund the sustainable projects of registered NPOs.

In the interviews, all the participants indicated that NPOs could increase their capacity through education and business management training, which they thought were the NPOs' greatest needs. However, they mentioned that in general, the option of donating resources to the NPOs was the Private Sector's more prevalent choice, as this meant less direct involvement with the NPO and also did not require the same time and investment in relationship as training did.

*b) Self-reliance*

It would seem that the Private Sector is willing to make a difference in the community by supporting NPOs, but does not like dependency and prefers to work with NPOs who are more self-reliant, although Participant C indicated that no NPO he has come across is self-reliant as they all need money and resources. Participant A indicated two forms of support – either supplying to a need by providing physical resources, or “the education route” to provide skills training to empower the individuals to become self-reliant, with the hope that they would teach other individuals in their NPOs. As mentioned above under point a) however, most businesses would prefer to donate resources, rather than invest time and relationships in order to train NPOs.

From the information gathered from the interviews it seems that the Private Sector views the NPOs as confident and dedicated to their causes, but it is not sure that the NPOs are really empowering the community at large to become self-reliant, but are instead providing desperately needed services and temporary relief. The Private Sector respects them for it.

*c) Participatory behaviour*

As already mentioned under Section 4.3.2 participatory behaviour between the NPO and Private Sector was rare and insufficient to lead to empowerment. It would seem that although they say they are willing to participate with each other, both parties discreetly block participation, not allowing the other party get too involved. A lack of trust and a shared context (organisational culture) appeared to be major obstacles in dialogue and participation taking place.

*d) Empowered NPO*

The information gathered from the interviews suggests that the Private Sector experience the NPOs as confident and dedicated to their causes. Apparently the Private Sector is willing to make a difference in the community by supporting NPOs, but does not like dependency in addition, the Private Sector prefer to work with NPOs who are already somewhat empowered. The participants seemed not to think of NPOs in general as empowered and felt that NPOs could benefit from education and skills training.

e) *Empowering NPO*

The participants all indicated that the NPOs are needed in the community and make an impact, but that it is difficult to gauge that impact and determine if the NPOs are empowering. The participants indicated that the Private Sector likes to see measurable results, and is willing to fund sustainable projects by registered NPOs. The participants were not confident that the NPOs are really empowering the community at large to become self-reliant, but are instead providing desperately needed services and temporary relief. The Private Sector also expressed some concern about beneficiaries becoming dependent on NPOs, and some individuals misusing their services instead of sustaining themselves. Participant B mentioned that some NPOs like experiencing power over their beneficiaries and the community and want to keep them dependent on the NPO or individual running it. This indicates a disempowering scenario.

f) *Intra-organisational component*

The participants were not that involved with NPOs to be able to comment on the internal organisational structures of NPOs. Participant A did however indicate that he preferred working with NPOs who are registered, and had a larger team of staff or volunteers, as it gave him an indication of some formal organisational structure. To him this suggested that the NPO had a better chance of being successful and sustainable.

g) *Inter-organisational component*

The Private Sector did not identify an intra-organisational component for empowerment, as it said the NPOs did not collaborate well because of competition for resources. Participant C said that he did not think NPOs collaborated well with other organisations, such as private businesses, because of the difference in approach:

*“Because they’re not run as businesses. An NPO needs to - you can only compare it to its figures and its results. Because businesses run on results and figures. So there’s a definite business gap between NPOs and businesses, because they don’t understand each other on their lingo, shall I say”.*

h) *Extra-organisational component*

The Private Sector felt that the NPOs made a huge difference in the lives of their individual beneficiaries, but not to the larger community. An extra-organisational component for empowerment was therefore not identified.

i) *Levels of empowerment*

*Empowerment can take place at individual, organisational and community level. Successfully empowered NPOs strive to achieve or inspire all of these levels.*

As indicated in point d) and e) above, the Private Sector does not consider the NPOs to be empowered organisations or empowering to the community and these levels of empowerment are therefore not identified. Participant B did identify some empowerment on individual level, but indicated that these individuals often enjoyed having power over their beneficiaries and kept them dependent on them.

*Summary:* The results indicated that the Private Sector did not like the NPOs' dependency on them and preferred to work with NPOs who already showed an increased capacity and some self-reliance, before supporting them. The Private Sector indicated that NPOs could increase their capacity through education and business management training, considered to be their greatest need. However, although participants gave suggestions as to how NPOs could be empowered and that they were willing to support it, the Private Sector's actions indicated otherwise. The results indicated that in general, the Private Sector opted for donating resources to the NPOs, as this meant less direct involvement with the NPO and did not require the same time and investment in relationships as training did.

An inter-organisational component for empowerment was mentioned in the organisational structure of some NPOs, but intra- and extra-organisational components seemed to be absent. The Private Sector indicated that NPOs did not collaborate well because they are in competition with other NPOs for resources. As they do not operate like businesses they have trouble engaging and collaborating with the Private Sector.

The participants were not confident that the NPOs are really empowering the community at large to become self-reliant. They are instead providing desperately needed services and temporary relief. The Private Sector also expressed concern about beneficiaries becoming dependent on NPOs and certain individuals misusing their services, instead of sustaining themselves. Another issue was the empowered individuals in NPOs, who like experiencing power over their beneficiaries and the community, creating dependence. This indicates a disempowering scenario.

It is clear from the interviews' results that the Private Sector does not consider NPOs to be empowered, nor is it an empowering agent to the NPO Sector, as a willingness to engage through dialogue and participation was hampered by a lack of trust and a shared context between the parties.

#### 4.4 RESULTS FROM THE PUBLIC SECTOR

Interviews with three participants representing the Public Sector were conducted in order to answer the research question “*How does the Public Sector view the empowerment process of local NPOs?*” The Public Sector was represented by a Community Development Practitioner of the Department of Social Development (DSD), Ms Koketso Molosankwe; the Manager in the local Tlokwe Municipality office for Transversal Issues in the Mayor’s Office (the Municipality), Ms Mabel Mokobe; and the Director of the North-West University’s (NWU) Department for Community Engagement, Ms Beatrix Bouwman.

Below follows a summary of the representatives’ results.

##### 4.4.1 Dialogue

The constructs for dialogue were identified as two-way horizontal communication; shared meaning/context; interpersonal communication; conscientisation and praxis; and mutual trust and respect (refer to Table 2 under Section 3.3.2 in Chapter 3 for a detailed list of the constructs).

###### a) *Two-way, horizontal communication*

The DSD’s database indicates over 1000 registered NPOs in Potchefstroom, a number which is growing daily (Molosankwe, 2015). To engage with such a large target group, all three Public Sector participants indicated that they have launched NPO forums.

Of the three Public Sector entities represented, the DSD has the mandate to engage the most regularly and on an individual basis with NPOs to make sure they comply with the NPO Act. Molosankwe indicated that the DSD provides training and assistance in this regard and its local NGO Forum (allegedly convened monthly, but later in the interview the representative indicated that this actually is held on a quarterly basis) provides the opportunity for NPOs to engage with stakeholders who support NPOs. She mentioned that the Forum is an opportunity for stakeholders to present their services and for NPOs to explain the challenges they experience.

The NWU started the Forum for Continuous Community Development (FCCD) in 2015 as a networking and training opportunity for NPOs in the region, which occurs two to four times a year (Bouwman, 2015).

The Municipality indicated that it visits various NPOs individually in Ikageng on a monthly basis, established an Older Persons Forum in July 2015 and a Women’s Forum in September 2015 for

women involved in NPOs in Ikageng, besides the existing Disability Forum (of which Mr Matlawe from Tshwaraganang Centre of People with Disabilities, is the Chairperson). The intention is for the forums to meet monthly (Mokobe, 2015).

Mokobe indicated in the interview that NPOs would also make appointments to visit the Mayor's Office and present written letters with requests for donations. She indicated that the new start-up NPOs were still "scared" of the Municipality and did not engage from their side, but that the older NPOs, like Susan Luthuli from Ikageng Day Care Centre for the Aged, easily visit the Municipality's offices and were not "scared" to engage. This could indicate some form of relationship with and confidence from more empowered NPOs, but it also indicates that the NPOs are not equal partners in communication with the Municipality and that NPO members did not all feel they had the right to engage in horizontal two-way dialogue.

The forums are supposed to facilitate dialogue and create a space where participants have an equal right and opportunity to engage in dialogue by speaking and listening. The frequency of the forums seemed insufficient to establish relationships though, and while forums present an opportunity for dialogue, this does not necessarily confirm or guarantee that dialogue does in fact take place in a two-way horizontal way.

*b) Shared meaning/context*

As mentioned under point a) above the NPO forums which were established by the DSD, NWU and Municipality, create an opportunity to engage in dialogue. The intention is also to create a shared meaning and context as the Public Sector provides the opportunity for NPOs to engage with stakeholders who support NPOs. Examples of these stakeholders that were give were the National Development Agency and other large funders, the Municipality's Local Economic Development Office and Office for Transversal Issues, and other Government departments like the Departments of Agriculture; Sports, Arts and Culture; Health; and Education. The DSD also invites successful NPOs locally or from Johannesburg, to address the start-up NPOs in order to inspire them. Molosankwe said forums are an opportunity for stakeholders to present their services and for NPOs to explain their challenges they experience, which indicates the opportunity to understand the different parties' background and goals.

Through its forums the Public Sector also encourages NPOs to organize themselves and to create their own forums according to their shared themes or Sectors e.g. an Early Childhood Development Forum, a Disability Forum, an Elderly Forum etc. This stimulates dialogue and collaboration amongst NPOs with a shared context.

c) *Interpersonal communication*

The size of the NPO Sector in Potchefstroom makes it a challenge to communicate face-to-face with all the NPOs. The participants indicated that they would phone NPOs on their list and use media such as the local radio station and newspaper to inform and invite NPOs to the forums. These are interpersonal and face-to-face events. All three participants also indicated that they themselves or representatives from their departments did scheduled individual visits within the community, or invited smaller groups of NPOs to meetings to promote interpersonal communication.

d) *Conscientisation and praxis*

Bouwman indicated that through the Forum for Continuous Community Development they had beneficial conversations with the NPOs and performed a needs assessment with them. The greatest needs identified were for skills training administration, financial management and proposal writing. The action resulting from this exercise was that the University approached the National Development Agency and other stakeholders, to organize providing this type of training.

Mokobe indicated that in her Department's monthly visits to different NPOs, they write down the needs, complaints and challenges of the NPOs "*and then we come back to the offices and then we can see how we can address them.*" Although they consider the NPOs needs, and may provide for some of them, it does not indicate a collective or collaborative reflection and action, but rather a more one-sided approach.

Although the Public Sector appears to be striving for conscientisation and praxis with NPOs, it seems to be minimal, as it can only reach and accommodate so many NPOs at a time. It would seem that the Public Sector is trying to inspire conscientisation and praxis amongst the NPOs themselves through encouraging them to create their own forums as mentioned under point b) above.

e) *Mutual trust and respect*

Bouwman mentioned that a lack of education and skills, mismanagement and corruption were of huge concern in the NPO Sector. She indicated that the amount of funding which went into the "charity space" was about R8 billion in the past year, being a huge amount of money. She also stated that worldwide South Africa was the second largest contributor to goodwill assistance and charity funding. She indicated this as a major reason for distrust in the NPO Sector:

*“It just gives you a reflection of the kind of money going around and we don’t see this money making a difference... So people have got open hands to assist these people and nothing’s happening in South Africa, and that is very concerning”.*

Bouwman mentioned the NWU experiences a degree of distrust from the NPO Sector and she presumes that NPOs are afraid that the University will take over their projects. She also indicated that a false perception exists that the University is aligned with a specific political party, which causes some NPOs not to pursue a relationship with the University.

The DSD also indicated distrust in communicating with the NPO Sector and Molosankwe mentioned she had to be vigilant of people manipulating the system for their own gain and who get involved in corruption to gain funding. She also mentioned the relationship with NPOs as being stressful, because of the NPOs’ non-compliance. A large number of NPOs refuse to submit their annual reports to the DSD, do not attend the DSD’s capacity building meetings and then argue about not receiving funding from them. This indicated a lack of respect from the NPOs towards the DSD.

Mokobe’s descriptions of communication with NPOs seemed to indicate a sporadic, random and one-sided approach and did not reveal specific relationships or trust with NPOs. She did however indicate that the Municipality did not provide funding without afterwards double-checking how the NPOs had utilised it, suggesting vigilance and some distrust:

*“We don’t just give to people, we don’t just donate and then leave them. Because if you do that, they are gonna come again, and you are gonna go round and round in circles, in one thing.”*

The general relationships between the Public Sector and NPO Sector are therefore not built on trust and respect, and corruption is of huge concern. This does not enhance the communication process between the parties and obstructs dialogue.

*Summary:* The information gathered from the interviews suggests that the volume of NPOs may create a challenge for the Public Sector in communicating successfully with them on an interpersonal level. A variety of NPO forums seems to be the solution. However, although forums present an opportunity for dialogue, there is not necessarily confirmation that dialogue does in fact take place. From the descriptions from the Public Sector participants, it would seem a little interpersonal communication takes place. The Public Sector strived to create a shared context/meaning as well as conscientisation and praxis for NPOs, and not necessarily with them. The Public Sector encourages NPOs to organize themselves and create their own forums according to different themes/Sectors. The Public Sector and NPOs do not appear to be equal partners in communication and much distrust is evident as a result of corruption and mismanagement in the NPO Sector. Not only is there distrust from both Sectors, but also some antagonism from the NPOs due to incorrect perceptions about the Public Sector and an

expectation to receive funding, even if they do not comply with the requirements. The Public Sector tries to create a space and opportunity for dialogue, but it is not successful as there are many factors that hinder it.

#### **4.4.2 Participation**

The constructs for participation were identified as dialectic communicative process; levels of participation; participation in planning; participation in implementation; participation in evaluation; participation in benefits; and collaboration and collective decision making (refer to Table 2 under Section 3.3.2 in Chapter 3 for a detailed list of the constructs).

##### *a) Dialectic communicative process*

As already mentioned under Section 4.4.1 all three Public Sector participants actively engages with the NPO Sector through NPO Forums, as well as individual visits. The forums are supposed to facilitate dialogue and create a space where participants have an equal right and opportunity to engage in dialogue by speaking and listening. Information is also shared between the two Sectors. In addition the forums are used to introduce the NPOs to different stakeholders who support NPOs, as well as to encourage NPOs to collaborate with each other.

##### *b) Levels of participation*

The different NPO Forums launched by the Public Sector seemed to focus on sharing information with the NPOs in order to enable them and put them in touch with different stakeholders. The descriptions of the NPO's participation in the forums thus focused on receiving information and voicing their challenges. This indicates low-level participation, although it would seem that the Public Sector tried to encourage collaboration, and therefore high-level participation, amongst the NPOs themselves.

Molosankwe indicated in the interview that the DSD's Forum as well as the DSD practitioners' personal visits to NPOs are for the purpose of providing services, funding, administrative training and assistance in compliance with the NPO Act. She confirmed dialectic communication occurs and that information is shared to help NPOs. This however points to low-level participation of information sharing and consultation. There does not seem to be an opportunity for engagement in high-level participation where the NPOs are included in collaborative decision-making and planning for projects with the DSD. Due to compliance with legislation, it seems that most participation by the NPO Sector with the DSD is not voluntary. Molosankwe indicated she experienced the relationships with the NPOs as being strained, as many NPOs

are unwilling to comply and refuse to submit reports, or attend the meetings which are meant to enable them. Molosankwe explained that the communication and non-compliance issues are many and mostly experienced with illiterate or uneducated and “difficult” elderly people who find the processes and forms difficult to understand and they refuse to hand in their annual narrative reports.

Mokobe said that the Municipality invites the community and the NPOs to participate in their community planning by speaking up at Town Council meetings and the mayor’s community gatherings/*imbizos*, and indicate that NPOs come to see them on personal appointments as well. She shared that the Office for Transversal Issues has gained a larger budget and this meant it could engage more with NPOs. However, from her descriptions in the interview it seems that its community planning revolves around charitable hand-outs and Public relations events according to a themed calendar received from the Provincial Office (e.g. Women's Month, Heritage Month, Disability Month etc.). This demonstrates that participation from NPOs is very low-level, and could possibly suggest participation in benefits only. Although the only benefits identified were the receiving of hand-outs.

Bouwman described that the NWU is very selective where and how it gets involved in community engagement, because it has an academic approach that focuses on long-term impact and sustainable development. She stated that the NWU has to take risk management seriously, and through research prove that its social engagement has an impact factor that can be scientifically substantiated. Bouwman reported that the NWU is often approached for funding, but its policy is to provide expertise instead of donations. As a result of this, it seems that the University’s participation with NPOs is less than that of other Public Sector entities. Bouwman however indicated that the NWU has a good relationship with Mosaic and provides them with mentoring, advice and referrals. Yet Mosaic does not involve the NWU beyond consultation, so this indicates low-level participation.

Mokobe suggested that the lack of participation may have been because of a lack of a stable relationship between the Municipality and the NPOs, and that NPOs did not previously know who to turn to. She also confirmed that she had previously avoided the NPOs because her department did not have the budget to provide for the NPOs’ needs and she did not want to be responsible for empty promises. Molosankwe suggested that many people were angry about not receiving funding from the DSD, but that the DSD could only fund compliant NPOs. All three participants confirmed that the NPO Sector does not request involvement from the Public Sector in their projects, with the exception of asking for funding.

Participation between the NPOs and the Public Sector is therefore low-level, only through the sharing of information, and seems to come mainly from the Public Sector’s side.

c) *Participation Stages: planning, implementation, evaluation, benefits*

As mentioned under point b) above, participation between the Public Sector and NPOs is only in the form of low-level information sharing. NPOs never approach the Public Sector to become involved in their projects, with the exception of asking for funding:

*“They normally come for donations. They don’t involve us. Ja, they just want donations. They will just call you and say we have this day, can you please provide us with catering, provide us with food parcels, stuff like that” (Mokobe, 2015).*

The Public Sector engages with the NPO through forums and individual visits, but the only instance when the NPO are invited to be part of planning and possibly evaluation with the Public Sector was apparently in the Town Council meetings, and the Mayor’s community gatherings where members of the Public, including NPOs, could listen to information, ask questions and voice opinions. This still only indicates that their input may influence the decisions of the Municipality, but not that the parties necessarily collectively plan or decide with each other.

Participation in events, information sessions or workshops meant that the NPOs participated in the benefits stage of Public Sector projects only by receiving benefits such as funding, charitable hand-outs, information or skills training.

d) *Collaboration and collective decision-making*

As mentioned under points a) and b) above the Public Sector encourages collaboration between the NPOs themselves so they can make collective decisions and present themselves and their challenges better to the Public Sector. The forums give the opportunity to engage in dialogue, share information, ideas and identify needs collectively. However, most of the Public Sector’s descriptions of their involvement with NPOs indicate that it is not a collective effort but that the NPOs one-sidedly present their needs and challenges to the Public Sector, and the Public Sector then one-sidedly decide on solutions for these problems and offer this back to the NPOs. There are no collective or collaborative decisions being made. This indicates a lack of relationship and trust, as well as a heavy dependence on and expectation of the NPO Sector on the Public Sector, which does not lead to empowerment.

*Summary:* The information gathered from the interviews suggests limited and low-level participation between the Public Sector and NPOs. None of the phases of participation were identified except for participation in benefits, namely funding and skills training. The DSD even indicated aggressive, overt non-participation. This suggests a lack of trust and respect between the parties.

Minimal collaboration and no collective decision-making were indicated. The interviews suggest that the NPOs have a huge expectancy for funding from the Public Sector, and are heavily dependent on them. The DSD and Municipality seemed to accept this obligation to fund the NPO Sector and to “capacitate” them, but it would seem that the interaction between these Sectors is making the NPOs more dependent instead of empowering them. The University seems to realise this and, because of its academic nature, expressed that skills training and education should be provided rather than funding, in order to make NPOs self-reliant.

According to the literature study on participation (refer to Chapter 2 for the detailed discussion on participation and the resulting guiding argument under Section 2.2.5.3.2, as well as the discussion on empowerment leading to self-reliance, and the resulting guiding argument under Section 2.2.5.3.4), low-level participation of information sharing and consultation does not lead to empowerment. Only high-level forms of collaboration and empowered participation when participants are part of the decision-making through the whole of a project, will lead to empowerment and self-reliance.

#### **4.4.3 Cultural Diversity**

The constructs for cultural diversity were identified as acknowledgement of cultural diversity and cultural freedom; strengthening of group identity; and indigenous knowledge (refer to Table 2 under Section 3.3.2 in Chapter 3 for a detailed list of the constructs).

##### *a) Acknowledgement of cultural diversity and cultural freedom*

Mokobe shared in the interview that the Office of Transversal Issues, including her personally, did not experience any issues with cultural diversity in dealing with the NPOs, as they are part of the same culture. After the researcher enquired about what she meant, she mentioned that she had not met NPOs managed by other cultures - explaining that she has only worked with black women in NPOs, had no experience with white people, and wasn't aware of the fact that American, Korean and German citizens were also present and volunteering in NPOs in Ikageng. This could indicate that the Municipality did not engage with the full scope of NPOs present in Ikageng, although the participant confirmed in the interview that the Municipality received its database from the DSD (which should include all registered NPOs). She indicated that her general experience of NPOs' organisational culture is that they are known for working very hard, creating jobs, and that skilled people (she mentioned retired nurses for example) who could benefit from even more skills training, managed them.

The DSD similarly does not see culture as an obstacle, but Molosankwe did reveal a bigger sensitivity to how culture could be interpreted, than the Municipality, by referring to different cultural aspects besides language and race. She mentioned different faith-based organisations, Indian NPOs, traditional healers, as well as the deaf community, which she indicated all have to be respected by the DSD and approached in slightly different ways. She indicated that the DSD provides support for organisational structure and culture by providing a 'model constitution' with instructions on how to run the NPO regarding management. Her opinion on the NPOs' organisational culture was that it is known for rendering services and helping the community.

Bouwman conveyed that the University's Office for Community Engagement has a Setswana community worker that is sensitising the office's staff to cultural practices and respect, which is taken into consideration before they engage with communities. She indicated that this could unfortunately not be said for all the University departments or their students. Bouwman also indicated that this community worker is endeavouring to gain information from the community regarding NPO operations and their needs, and to build trust between the NPOs and the NWU. Bouwman indicated that NPOs in general are alleviating poverty and challenges such as disability thus impacting livelihood positively. This indicated a positive opinion of its organisational culture.

The participants indicated an acknowledgment, tolerance and respect for cultural diversity in the NPO Sector, and considered their organisational culture.

*b) Strengthening of group identity*

The results did not indicate that the Public Sector showed a specific shared value system with the NPOs. Through the NPO forums the Public Sector did however encourage collaboration between the NPOs and invited successful external NPOs to speak to and motivate start-up NPOs especially. This could be considered as positive actions towards strengthening the NPOs' group identity.

*c) Indigenous knowledge*

Molosankwe when asked about the indigenous knowledge of NPOs, indicated that the DSD respects the knowledge of experienced NPOs and often invite them to address other NPOs to advise and inspire them. Mokobe conveyed her respect for NPOs' experience and skills, but did not show that it was incorporated or considered a development resource for the Municipality. As mentioned under point a) above Bouwman mentioned that a Setswana community worker is sensitising the Office for Community Engagement's staff to cultural practices and respect, which

is taken into consideration before they engage with communities, and this means they use this indigenous knowledge as a resource for development.

*Summary:* The information gathered in the interviews did not indicate cultural diversity as an obstacle to communication, but also did not suggest that it aided the communication between the Public Sector and NPO Sector. The information indicated that the Public Sector had a varying acknowledgment for cultural diversity amongst the NPOs, as the participants were not all exposed to or aware of the variety of cultures represented in the NPO Sector. The Public Sector did seem to respect the organisational culture and indigenous knowledge of NPOs, and the community they operate in. In some cases, it was used as a resource for development. The Public Sector did not reveal specific shared values with the NPO Sector, but the NPO Forums showed some positive actions towards strengthening the NPOs' group identity.

#### **4.4.4 Empowerment**

The constructs for empowerment were identified as increased capacity; self-reliance; participatory behaviour; levels of empowerment (individual, organisational, community); Empowered NPO; Empowering NPO; Intra-organisational component; Inter-organisational component; and Extra-organisational component (refer to Table 2 under Section 3.3.2 in Chapter 3 for a detailed list of the constructs).

##### *a) Increased capacity*

All three participants identified the need for education of and skills training for the NPOs. Bouwman mentioned that a needs assessment identified skills training requirements in administration, financial management and proposal writing as being the new NPOs' greatest needs. Well-established NPOs did not seem to have the same problem. She said that many NPOs are uneducated in the fact that although a NPO functions on business principles, they are not supposed to show a profit. Molosankwe also indicated that the education level of NPOs is an enormous challenge, with many uneducated and illiterate people struggling to grasp the registration and compliance process of the NPO Act. She said that the DSD invests a lot of time helping them prepare their forms and reports. She added that it is the DSD's responsibility to train and "capacitate" NPOs, and that the DSD would first do capacity building with NPOs before funding them. It would however seem that NPOs did not show an increased capacity in accessing resources and making sufficient choices on their own initiative, due to a lack of education. The results suggest that the Public Sector is in a position to increase their capacity

and the DSD indicated it was their responsibility to do so, but it would seem that the Public Sector was inadvertently making the NPOs more dependent on them.

*b) Self-reliance*

The Public Sector reported that in general the NPOs are not self-reliant and are dependent on the Public Sector for support. Molosankwe confirmed that she believes that especially the small NPOs are very dependent on the DSD, for funding, training and organization. Mokobe also stated that the NPOs are dependent on the Municipality for financial assistance. The exception to the above statement was that in Bouwman's opinion most of the case study NPOs were probably able and independent enough to not need to align themselves with the NWU in order to operate. She also mentioned that she was especially confident in Mosaic's self-reliance.

*c) Participatory behaviour*

The information gathered from the interviews demonstrates that the Public Sector is unsure of the participatory behaviour of the NPOs with regard to how they involve communities in their projects' planning and implementation, but that it is of the opinion that the community benefits from the services delivered and jobs created by the NPOs.

Molosankwe, the DSD practitioner, mentioned that the NPOs who did work well together and met at least on a monthly basis, were ones that had something in common – for example the NPOs for Early Childhood Development, service clubs for older people, and those NPOs focussing on sports activities or cultural groups such as choirs and dancers. These examples point to participatory behaviour.

As already mentioned under Section 4.4.2 participation between the NPOs and the Public Sector is low-level only through the sharing of information, and comes mainly from the Public Sector's side. Most of the Public Sector's descriptions of their involvement with NPOs demonstrate that it is not a collective effort but that the NPOs independently present their needs and challenges to the Public Sector, and the Public Sector then independently decide on the solutions to these problems and offer it back to the NPOs. There are no collective or collaborative decisions being made, which suggests that the interaction will not lead to empowerment.

*d) Empowered NPO*

As discussed above under points a) to c) the participants indicated that in general the NPOs do not have an increased capacity and are not self-reliant, but are very dependent on the Public Sector for financial support, guidance and skills training. Participation between the Sectors is

low-level and the NPOs mostly approach the Public Sector for funding. The participants acknowledged the NPOs' dependence and this suggests that they do not think the NPOs are empowered organisations.

e) *Empowering NPO*

Bouwman was of the opinion that the community is very dependent on NPOs, but that some are not sustainable, and that certain members of the community misuse the services of NPOs in order to provide for their own needs, without putting in any effort to work themselves. This indicated that she doubted that NPOs were empowered organisations, or empowering the community to become self-reliant. Bouwman shared in the interview that the University does not want to perpetuate poverty by a culture of hand-outs but wants, instead to encourage social development and entrepreneurship.

Molosankwe explained that the DSD's model constitution, amongst other things, stipulates to NPOs that their Committee Members must rotate so that different people in the organisation get empowered and all the skills training or experience is not just acquired by one person or a few. She however noted that a huge problem with the local NPO Sector is that people want to "own" their NPO and projects. She indicated that these NPO founders showed possessiveness, no transparency, and attended workshops but did not share their new skills with the rest of the staff or give them feedback from forums or meetings attended. This draws attention to the power element in empowerment and, in this case, the NPO leaders empower themselves as individuals, but disempower their staff or volunteers, and possibly their beneficiaries by making them dependent on their "leadership".

The Public Sector therefore does not consider the local NPO Sector to be empowering to the community, but instead a provider of essential services. There is concern about NPOs making beneficiaries more dependent, instead of self-reliant.

f) *Intra-organisational component*

As mentioned under point a) above, all three participants identified the need for education of and skills training for the NPOs and Bouwman identified skills training requirements in administration, financial management and proposal writing as young NPOs' greatest need. Well-established NPOs did not seem to have the same problem.

The DSD stated it has a model constitution that which explains what is expected to comply with the NPO Act and gives guidelines for the organisational structure and management. However, Molosankwe indicated that the DSD spent a lot of time trying to help uneducated NPOs to set

up their structure and comply with the NPO Act. DSD coordinators even helped physically filling in forms and reports with or for them.

The intra-organisational component for empowerment is therefore illustrated amongst well-established NPOs who have an organisational structure and do not need help with administration, financial management or proposal writing. This component however seems to be lacking for most of the NPOs the Public Sector deals with.

*g) Inter-organisational component*

Bouwman is of the opinion that the small and especially the start-up NPOs in general, are struggling and competing for resources, and are therefore less likely to collaborate with each other. Mokobe's experience at the Municipality however was that NPOs are definitely networking and communicating with each other, and she described that when the Municipality invited only a few NPOs, with the goal to host different smaller groups over time, uninvited NPOs showed up in droves. This could however also be illustrating that NPOs are competing for resources, and are afraid of missing out on possible funding and therefore make sure they jump at every opportunity, even if they are not invited.

Molosankwe, the DSD practitioner, mentioned that the NPOs who did work well together and met at least on a monthly basis, were ones which had something in common like the NPOs for Early Childhood Development, service clubs for older people, and those NPOs focussing on sports activities or cultural groups such as choirs and dancers. These examples suggest an inter-organisational component which could lead to empowerment. As mentioned under Section 4.4.2 the NPO Forums try to encourage collaboration amongst the NPOs. It therefore appears that NPOs who share some context are more inclined to collaborate.

*h) Extra-organisational component*

The information gathered from the interviews suggests the Public Sector views the NPOs as alleviating poverty and challenges such as disability thus impacting livelihood positively. In the information shared however, the NPOs are not effectively representing themselves or advocating for their groups or communities with or to the Public Sector, as the participants mentioned they only approached them for funding. No mention was made of negotiating for better services or changed policies. It would seem that the impact of individual NPOs is small-scale and does not focus beyond their immediate beneficiaries. An extra-organisational component for empowerment is therefore absent.

i) *Levels of empowerment*

*Empowerment can take place at individual, organisational and community level. Successfully empowered NPOs strive to achieve or inspire all of these levels.*

As indicated in the points above, the Public Sector did not consider the NPOs to be empowered or empowering organisations. The DSD indicated that there are some empowered individuals in NPOs who enjoyed having power over their staff and beneficiaries, and kept them dependent and disempowered by not sharing information or skills with them. Organisational and community level empowerment was therefore not activated.

*Summary:* The information gathered from the interviews indicates that the Public Sector did not experience the constructs of empowerment amongst the majority of NPOs. The Public Sector acknowledged the NPOs' dependence on it and did not consider the NPOs to be empowered or empowering. It however becomes clear from the interviews' results that the Public Sector themselves are also not an empowering agent to the NPO Sector, and their efforts to help seem to be making the NPOs even more dependent.

#### **4.5 Conclusion**

This Chapter presented the analyses of the findings that were derived from the empirical study, which included semi-structured interviews and focus group discussions. Results gathered from the NPO Sector, Private Sector and the Public Sector were discussed according to the core principles and constructs of dialogue; participation; cultural diversity; and empowerment.

The three sets of results from the NPO case studies, the Private Sector and Public Sector provided the researcher with three unique perspectives on the empowerment of the local NPO Sector, with interesting similarities and differences. In the next Chapter, these perspectives will be interpreted and will provide a conclusion which answers the general research question. Recommendations which arose from the empirical study in this chapter in reference to the literature review in Chapter 2, and aligned to the various research aims that was specified in Chapter 1, will also be offered.

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

### **5.1 INTRODUCTION**

In Chapter 1, three role players in the discipline and practice of communication for development and social change – i.e. the Public, Private and Non-profit Sectors - were introduced, and the contribution by the South African NPO sector to development was acknowledged. It was posited that the local NPO sector's use of participatory communication and their empowerment as organisations has not yet been significantly explored in the discipline of communication for development and social change. The researcher made the assumption that empowering or enabling local NPOs by giving them agency to act, to become self-reliant, and to have an input in planning, should result in social change to the benefit of themselves and the community.

The introductory chapter identified the theoretical basis for the study as participatory communication against a framework of empowerment and indicated the problem statement (refer to Section 1.2 in Chapter 1); identified specific and general research questions and research aims (refer to section 1.3); identified the research approach and methods (refer to Sections 1.6 and 1.7 in Chapter 1); introduced the structure of the study (refer to Section 1.9 in Chapter 1) and, provided definitions and clarification of terms used (refer to Section 1.8 in Chapter 1).

This current chapter, Chapter 5, concludes the dissertation by reviewing the five specific research aims and the corresponding research questions, as well as the general research aim that were reached through the process of the study (refer to Section 1.4 in Chapter 1).

The chapter concludes with recommendations made to the three different sectors after interpretation of the results. It identifies shortcomings of the study, and identifies opportunities for further research.

### **5.2 ANSWERING RESEARCH AIMS 1 – 2: LITERATURE STUDY AND THEORETICAL BACKGROUND**

The first two specific research aims (refer to Section 1.4 in Chapter 1) were addressed through the literature study that reviewed the recent theories on the participatory approach of communication for social change and empowerment. This assisted in formulating guiding arguments for each of the core concepts of participatory communication that were identified in Chapter 2. The research aims were to define participatory communication and empowerment and to find the link between these concepts (Refer to Section 1.4 in Chapter 1):

- 1.4.2.1 To discuss the relevant assumptions on participatory communication and how it is linked to empowerment according to recent theories of communication for social change, by engaging in a literature study.
- 1.4.2.2 To define empowerment according to recent theories of communication for development and social change, by engaging in a literature study.

The theory and literature study in Chapter 2 identified the participatory approach as the normative approach to communication for development and social change. The social context and general approach to development, as well as the philosophical premise for participation, of the participatory approach, were reviewed in comparison to the previous paradigms of modernisation and dependency theory to give a succinct history of development communication and how it evolved into emerging participation. The study on participatory communication revealed the four following core concepts as applicable to the current research purposes: dialogue; participation; cultural diversity; and empowerment leading to self-reliance. These core concepts were discussed thoroughly as to develop guiding arguments for the study (refer to Section 2.2.5.4.1 through to 2.2.5.4.4 in Chapter 2).

### **5.2.1 Guiding argument on dialogue**

According to the literature, dialogue is a meaningful process, which cannot be divorced from context, and it distributes power more evenly between participants, because both parties get to speak and to listen while communicating as they enter into collaboration. Dialogue, based on mutual trust and respect, is a horizontal process of speaking and listening between participants, with participants constantly switching between listening and speaking, in order to share and reflect on needs and problems, and then act on transforming it. The shared meaning, partnership and resulting ability to transform situations, has the capability to empower people on an individual and collective level (refer to Section 2.2.5.4.1. in Chapter 2).

Five constructs for the concept of dialogue were derived from the literature study in Chapter 2 (refer to Table 3.2 in Chapter 3 for the list of constructs) and were used to develop an interview guide for the empirical part of the study (refer to Section 3.4.2.3, table 3.4 as well as Section 3.4.3.2, table 3.6):

- a) Two-way, horizontal communication;
- b) Shared meaning/context;
- c) Interpersonal communication;
- d) Conscientisation and praxis;

- e) Mutual trust and respect.

The guiding argument derived from the literature study (refer to Section 2.2.5.4.1), is as follows:

### **Text box 2.1 Guiding argument on dialogue**

Dialogue is a two-way horizontal process of communication, with participants constantly switching between listening and speaking. This is true for face-to-face interpersonal communication, the original dialogue, but could also be the case for other channels of communication which provide feedback opportunities. The purpose of dialogue is not information transfer or persuasion, but transformation of the world the participants live in by engaging in *conscientisation* and *praxis*, i.e. identifying and critically reflecting on shared needs and problems, and then moving to action to solve it. Ideally, people engaged in dialogue create a shared meaning and common ground resulting in an energy or power (e.g. a willingness to participate in development programmes) that can be harnessed to promote individual and organisational transformation.

The above guiding argument, derived from theory, was applied to the specific study in the following way:

#### ***Applied guiding argument***

*In order for NPOs to be empowered themselves, and create the capacity to make a difference in the development setting, they need to engage in two-way horizontal dialogue with all their stakeholders. Dialogue takes place in a setting of mutual trust and respect between participants, knowing that all participants have an equal right and opportunity to engage in dialogue, and are willing to continually alternate between listening and speaking. Dialogue motivates engagement in conscientisation and praxis – collectively reflecting on the community's shared needs and problems and then moving on, to take action to provide for said needs or solve the problems.*

### **5.2.2 Guiding argument on participation**

Development literature reveals that participation is necessary for successful development and that there are varying levels of community participation ranging from hardly participating to fully participating throughout the different phases of development projects.

Certain forms of participation are considered low-level (information sharing; consultation), while others are considered high-level forms of participation (collaboration; empowerment).

Participation in decision-making throughout all the phases of a project - planning, implementation, evaluation and benefit – is crucial to attain truly empowered participation.

Seven constructs for the concept of participation were derived from the literature study in Chapter 2 (refer to Table 3.2 in Chapter 3) and were used to develop an interview guide for the empirical part of the study (refer to Section 3.4.2.3, table 3.4 as well as Section 3.4.3.2, table 3.6):

- a) Dialectic communicative process;
- b) Levels of participation (high-level vs. low level consultation, information sharing, collaboration, decision making);
- c) Participation in planning;
- d) Participation in implementation;
- e) Participation in evaluation;
- f) Participation in benefits;
- g) Collaboration and collective decision making.

The guiding argument derived from the literature study (refer to Section 2.2.5.4.2), is as follows:

#### **Text box 2.2 Guiding argument on participation**

Participation is a multi-dimensional and dialectic process based on shared information and continuous human interaction resulting in the collective reflection, decision-making and action taken to solve a community's problems and fulfil its needs. It considers cultural diversity and is essential for development and social change to occur. Different levels of participation exist with information sharing and consultation as low-level forms of participation, and collaboration and empowered participation as high-level forms. In specific projects, participants can be involved in the different stages of the project from planning, implementation, evaluation, sharing in benefits to decision-making. High-level participation in decisions, from the formulation of a project, through all the different stages to its completion, is the only form that leads to empowerment and self-management. Without high-level empowered participation, development becomes another form of domination of a community and does not last beyond the time when the implementers withdraw and move on.

The above guiding argument, derived from theory, was applied to the specific study in the following way:

#### ***Applied guiding argument***

*For NPOs to reach their development goals of being agents of social change in their*

*communities, they have to interact with their stakeholders in a multi-dimensional and dialectic process of participation. Stakeholders can be engaged with at different levels of participation, as well as different stages of a project. However, if they want to become empowered themselves and, in turn empower and change their communities, their goal should be high-level participation and collective decision-making throughout all the stages of a project. This means from the formulation and planning of a project, to the implementation, evaluation and sharing in the benefits resulting from the project.*

### **5.2.3 Guiding argument on cultural diversity**

The literature review showed that modernisation perceived culture, tradition and religion as obstacles, while the participatory approach embraces culture and advocates respect and tolerance for cultural identity, cultural differences and cultural freedom. Development cannot be divorced from its cultural context, because cultural identity influences the nature of communication and participation and understanding culture and indigenous knowledge, can facilitate development and communication for social change. In this way, it becomes a useful resource. In situations where people of different cultures need to work together (such as NPOs for example) it creates a shared value system and context, and can create and strengthen a group identity, promoting trust and participation.

Three constructs for the concept of cultural diversity were derived from the literature study in Chapter 2 (refer to Table 3.2 in Chapter 3) and were used to develop an interview guide for the empirical part of the study (refer to Section 3.4.2.3, Table 3.4 as well as Section 3.4.3.2, Table 3.6):

- a) Acknowledgement of cultural diversity;
- b) Strengthening of group identity;
- c) Indigenous knowledge.

The guiding argument derived from the literature study (refer to Section 2.2.5.4.3), is as follows:

### **Text box 2.3 Guiding argument on cultural diversity**

Respect for cultural diversity and people's cultural freedom to live a life of their own choosing, is a determining factor in successful development and participation. Communication for development and social change cannot ignore it, reduce it to an inferior role or remove itself from its context, as culture influences the quality of social interaction, behaviour, dialogue and willingness to participate. Culture strengthens a group's identity and includes, amongst others, an individual or community's worldview and values, indigenous knowledge, traditions, customs, beliefs and symbols. Understanding culture and indigenous knowledge can facilitate participation, and therefore become a useful development resource. In situations where people of different cultures need to work together creating a shared value system and context. It can create and strengthen a group identity which in turn, could increase trust and participation.

The above guiding argument derived from theory was applied to the specific study in the following way:

#### ***Applied guiding argument***

*NPOs need to create and foster their own cultural identity while incorporating and respecting the cultural diversity of their volunteers or employees, as well as of the communities in which they operate. A shared value system and respect for differences could lead to increased trust, participation and empowerment. The Private and Public Sectors need to respect the fact that the society is not homogenous and every NPO is unique and different in terms of the combination and composition of their community's cultural background and values, their staff and volunteers' cultural background, together with their own institutional culture of shared values.*

#### **5.2.4 Guiding argument on empowerment leading to self-reliance**

The development literature referring to empowerment focuses on the process in which individuals, organisations, or the community experience freedom of choice and gain control over circumstances and decisions which influence their lives. This has the effect of increasing their capacity, access to resources and social justice (Rappaport 1987; Zimmerman & Rappaport 1988; White, 1994; Melkote and Steeves 2001; Ander et al., 2001).

Empowerment was described as both a process and an outcome, and is an interdisciplinary concept spanning various fields of study. Empowerment can take place at an individual (i.e. psychological), organisational (i.e. social) or community (i.e. civic) level.

Nine constructs for the concept of empowerment were derived from the literature study in Chapter 2 (refer to Table 3.2 in Chapter 3) and were used to develop an interview guide for the

empirical part of the study (refer to Section 3.4.2.3, Table 3.4 as well as Section 3.4.3.2, Table 3.6):

- a) Increased capacity;
- b) Self-reliance;
- c) Participatory behaviour;
- d) Levels of empowerment (individual, organisational, community);
- e) Empowered NPO;
- f) Empowering NPO;
- g) Intra-organisational component;
- h) Inter-organisational component;
- i) Extra-organisational component.

The guiding argument derived from the literature study (refer to Section 2.2.5.4.4), is as follows:

#### **Text box 2.4 Guiding argument on empowerment leading to self-reliance**

Empowerment is both a process and an outcome. The process of empowerment is both participatory and developmental and can take place on different levels. Empowerment is a communicative process, which consists of culturally, and contextually defined interaction between individuals and their environments. Empowerment results in the increased capacity and self-reliance of individuals or groups in making purposeful choices and, their capacity to transform these choices into desired actions and outcomes.

The above guiding argument derived from theory was applied to the specific study in the following way:

##### ***Applied guiding argument***

*Empowerment can take place on either an individual, organisational or community level. For NPOs to make a significant difference in the community and South African development context, they need to be empowered organisations employing empowered individuals, who are passionate about empowering the community in which they serve. An empowered NPO can in turn be empowering to its members and community by positively influencing them to participate in decisions and projects. Empowerment increases the capacity of individuals and groups to gain control over their situation and make decisions which will impact on their lives. Participatory behaviour, like dialogic interaction and increased capacity to engage in decisions and actions, leads to empowerment and self-reliance. Self-reliance means that the NPO as an organisation or individual working for the NPO, can make their own decisions, manage their own systems*

*(i.e. financial, operational and human resources) and use their own resources in the community to address development or effect social change without having to rely on outside help. The empowerment process of an NPO has an intra-, inter- and extra-organisational component as it focuses on its own organisational structure and purpose, interaction and collaboration with other NPOs, as well as the larger environment in which they function.*

## **5.2.5 Conclusion**

As demonstrated in the preceding discussions, research aims 1 and 2 were reached via the literature study and theory by the identification and discussion of the four relevant core concepts of the participatory approach, namely dialogue; participation; cultural diversity; and empowerment leading to self-reliance, and the formulation of theoretical guiding arguments derived from the literature.

The four guiding arguments thus answered the first two specific research questions, namely:

- 1.3.1.1 What are the relevant assumptions on participatory communication and how it is linked to empowerment according to the recent theories of communication for social change?
- 1.3.1.2 How is empowerment defined according to recent theories of communication for development and social change?

According to the recent theories of communication for development and social change, empowerment was defined as a participatory and communicative process and outcome, which should result in the increased capacity and self-reliance of individuals or groups (Freire, 1970; Rappaport 1987; Zimmerman & Rappaport 1988; Nair & White, 1993; Thomas, 1994; White, 1994:7-8; Servaes, 1995:46; 1996:79; Servaes & Arnst, 1999; Servaes, 2008, 1998, 1996, 1995; Ander et al., 2001; Papa *et al.*, 2000:91; Melkote & Steeves, 2001).

The literature study, however, also established that empowerment was an interdisciplinary concept across multiple disciplines (refer to Section 2.3.1 in Chapter 2) and that there is a dialectic synergy between participation and empowerment (Chitnis 2005). From the guiding arguments, the relevant assumption on participatory communication is that the identified core concepts (dialogue; participation; cultural diversity; and empowerment leading to self-reliance) are interrelated and that participatory behaviour, like dialogic interaction and increased capacity

to engage in decisions and actions, leads to empowerment and self-reliance. Engaging in two-way horizontal dialogue motivates engaging in more participatory behaviour. Dialogue and participation occurs in an environment of mutual trust and respect. A shared value system and respect for cultural differences could lead to increased trust, and therefore increased participation and empowerment.

Participatory communication can therefore lead to empowerment and is an integral element of the empowerment process. However, empowered individuals are also more likely to willingly engage in community participation. Empowerment is therefore embedded in the various participatory processes that lead to dialogue, critical reflection and the consequent action taken, and that motivate individual and social change outcomes (Freire, 1970; Papa et al., 2000, Chitnis 2005).

From interpreting the literature (refer to Sections 2.3.2 and 2.3.3 in Chapter 2), it seems unlikely that organisations can be empowered to influence or change the larger environment and community, without first empowering the individual members in the organisation itself, as they would be less likely to participate or be skilled in decision-making and problem-solving behaviours. If NPOs want to become empowered themselves and, in turn empower and change their communities, their goal should be to interact with all their stakeholders (internally first and then externally) in a multi-dimensional and dialectic process of dialogue, high-level participation and collective decision-making throughout all the stages of a project, while respecting cultural diversity.

### **5.3 ANSWERING RESEARCH AIMS 3 - 5: EMPIRICAL STUDY**

The three consecutive, specific research aims (refer to Chapter 1, Section 1.4) were addressed through interpreting the empirical results of the study discussed in Chapter 4, against the concepts and constructs identified in Chapter 2 (also refer to research aims 1 and 2 in Section 5.2 in this chapter).

#### **5.3.1 Research Aim 3: NPOs**

1.4.2.3 To learn how the organisations are being empowered, according to the NPOs themselves via semi-structured interviews and focus groups.

Semi-structured interviews and focus group discussions with the five NPO's participants, were employed as research methods (refer to sections 3.6.1 and 3.6.2 in Chapter 3) in order to

gather the empirical information. The interviews and focus group questions explored whether the four core concepts of dialogue, participation, cultural diversity, and empowerment leading to self-reliance, were present in the NPOs' communication with their stakeholders. The results were compared and discussed in detail in Chapter 4 (refer to Section 4.2) according to the identified core concepts and constructs, as well as the formulated guiding arguments (refer to Chapter 2, Section 2.2.5.3.1 through to Section 2.2.5.3.4). Below follows a summary of the compared results:

### **5.3.1.1 Dialogue**

The results (refer to Section 4.2.1 in Chapter 4) demonstrated that none of the NPOs successfully engaged in dialogue with all of their stakeholders. Most of the NPOs easily engaged in successful dialogue (meaning all the constructs of dialogue were present: *a) two-way, horizontal communication; b) shared meaning/context; c) interpersonal communication; d) conscientisation and praxis; e) mutual trust and respect*) internally to the organisation with their own staff, volunteers and beneficiaries, but then had difficulty in engaging in dialogue with some stakeholders including the community, Private and Public Sector. One case study, however, did not even indicate dialogue with its own members, and only one construct (*interpersonal communication* in meetings) was observed.

The NPOs indicated a willingness to enter into dialogue but seemed to not understand why their approaches to the Private and Public Sector failed. The results revealed that in communication the NPOs were unequal partners with the Private and Public Sector and that dialogue occurred on the Private and Public Sectors' terms. This meant that communication was not *horizontal*, but top-down from the Private and Public Sector to the NPOs, and often not *two-way*, since the NPOs frequently did not receive feedback from these sectors. Many of the NPOs approached external stakeholders in writing for initial contact, which in most cases did not result in dialogue, and meant that communication was not *interpersonal*. The NPOs in most cases failed to create a *shared meaning/context* with their external stakeholders and did not enter into a participatory process of shared reflection and problem-solving (*conscientisation and praxis*) with them. From the perspectives shared by the participants, *mutual trust and respect* were also not apparent between the NPOs and their stakeholders. Interestingly the NPOs' responses in the interviews and focus group discussions indicated that it was acceptable when the Private Sector did not engage with them, but they had a very vocal and negative reaction to the Public Sector not engaging with them, suggesting a larger expectancy for help from the Public Sector, as well as less trust and respect for it, than for the Private Sector.

According to the theory presented in Chapter 2, regarding the core concepts of participatory communication, dialogue is the starting point for the participatory process which should lead to

empowerment as a process or outcome. **If an NPO therefore presents with incomplete or absent dialogue, it means that participation, acceptance of cultural diversity and empowerment suffer or are also absent as a result.** The results from the NPOs support this conclusion.

### 5.3.1.2 Participation

The results (refer to Section 4.2.2 in Chapter 4) showed that the NPOs all engaged in forms of participation, but again not with all their stakeholders, and not all the concepts of participation in their interaction with stakeholders were identified by the participants *a) dialectic communicative process; b) levels of participation (high-level vs. low level consultation, information sharing, collaboration, decision making); c) participation in planning; d) participation in implementation; e) participation in evaluation; f) Participation in benefits; g) collaboration and collective decision-making.*

It was only in the internal communication of the NPOs, where the most dialogue took place, in which the case studies revealed *high-level participation* (collaboration or empowered participation in collective decision-making) amongst their management and staff. There is also a tendency amongst the larger NPOs to only engage in high-level participation with its management members, and low-level participation with the rest of their staff. All other participation with stakeholders reported by the NPOs was *low-level participation* (information sharing and consultation). **This confirms that participation is a multi-dimensional and dialectic communicative process** as derived from the literature study and guiding arguments (refer to Chapter 2 for the detailed discussion on participation and the resulting guiding argument under Section 2.2.5.3.2). It was noticeable that none of the case studies involved stakeholders in all the possible *phases of projects – planning, implementation, evaluation and benefits*, which could point to an unwillingness to participate, and therefore distrust, between the parties and a tendency of NPOs to fear losing control or “power” over their projects if they involve the Private and Public Sector extensively. In most cases the NPOs only involved external parties like the Private Sector in the implementation phase of projects, but these cases referred to the provision of labour or resources instead of *collaboration and collective decision-making*. However, the NPOs who reported internal dialogue, willingly collaborated with other NPOs to the of benefit their organisation. This suggests that **dialogue and a shared context**, such as those shared by NPOs, **create trust and stimulates participatory behaviour.**

### 5.3.1.3 Cultural diversity

The results (refer to Section 4.2.3 in Chapter 4) revealed that the sub-constructs for cultural diversity, namely *a) acknowledgement of cultural diversity and cultural freedom; b) strengthening of group identity; and c) indigenous knowledge* were all identified in varying levels at all of the case study NPOs.

All of the NPOs indicated that they were very accepting of different cultures amongst their beneficiaries and the community, and that they would not exclude someone from participation or communication based on their culture (i.e. *acknowledgement of cultural diversity and cultural freedom*). The NPOs run by African people all indicated that culture was not an obstacle for communication with any of their stakeholders, and they were very accepting of cultural differences. This may also stem from the fact that their members, beneficiaries, community, as well as their Public Sector contacts, share the same culture in the broad context of race, language and African traditions. Mosaic, a NPO run by predominantly Caucasians, experienced definite cultural challenges as they did not share and completely understand the culture of their volunteers, beneficiaries, community or Public Sector contacts who were predominantly Africans. Mosaic, as an exception to the other NPOs, had very good donor relationships with the Private Sector (predominantly white and Western), but a “non-existent” relationship with the Public Sector (predominantly black African representatives). **This shows that a shared context, culture (whether organisational or in terms of language and race), and perceptions of culture, definitely has an influence on the quality of participatory communication.**

The information gathered from the NPOs seems to support the guiding argument on cultural diversity (refer to Chapter 2 for the detailed discussion the resulting guiding argument under Section 2.2.5.3.3) that **a shared value system and respect for differences should lead to increased trust, participation and empowerment.** The NPOs who indicated participation and trust amongst their staff, were also the ones who indicated a greater investment in *strengthening their group identity*. Mosaic, which indicated it has multiple cultures – a variety of Western (i.e. South African, American, German) and African cultures – in the NPO which at times creates tension. This illustrates the need for a shared value system and the creation of their own organisational cultural identity in order to unite the different cultures, as a team, and create trust.

The NPOs expressed that their *indigenous knowledge* was not considered by the Public or Private Sectors and this indicates that the Public and Private Sectors fail to acknowledge it as a development resource, indicating a possible lack of trust and respect for the NPOs by these sectors.

#### 5.3.1.4 Empowerment leading to self-reliance

The results showed that of the five case studies, only one is empowered, having described all the constructs of empowerment in its interviews and focus group discussions (refer to Section 4.2.4 in Chapter 4): a) *increased capacity*; b) *self-reliance*; c) *participatory behaviour*; d) *Levels of empowerment (individual, organisational, community)*; e) *empowered NPO*; f) *Empowering NPO*; g) *Intra-organisational component*; h) *Inter-organisational component*; i) *Extra-organisational component*.

It seems that NPOs with more donors, from a larger variety of sectors, are less dependent on one source and therefore more *self-reliant*, having the *increased capacity* to access more resources and the freedom to make their own decisions on how to operate the NPO. This can also indicate a willingness of these NPOs to engage in more dialogue with more people, across more sectors (i.e. *participatory behaviour*). Most of the NPOs indicated a potential to be empowered, since they demonstrated some or all three of the *inter-, intra- and extra organisational components* for empowerment. However, most of the NPO's expressed a huge dependency on the Public Sector and the Department of Social Development, in particular. The lack of self-reliance and the dependence on the Public Sector points to a huge impediment to empowerment.

The NPOs who illustrated dialogue and high-level participation with their staff appeared to be *empowering* the *individuals* in the organisation who consequently expressed confidence in themselves and their abilities to make a *difference in the NPO (i.e. organisational empowerment) and community*, coupled with a willingness to collaborate. **This supports the theory that dialogue motivates participation; that *participatory behaviour*, like dialogic interaction and increased capacity to engage in decisions and actions, leads to empowerment and self-reliance; and that there exists a dialectic synergy between participation and empowerment.**

The information gathered indicated that the NPOs did not engage in dialogue or participation with all their stakeholders and, if the theory and guiding arguments are regarded, it can then be concluded that if the NPOs did include all their stakeholders, the NPOs would be more *empowered* and *empowering*. **Dialogue and participation can, however, not be forced.** If there is no equal right and opportunity to communicate, with participants constantly switching between listening and speaking, and a willingness to participate between both parties, dialogue cannot take place. The interviews and focus groups repeatedly mentioned that, although the NPOs tried to engage in dialogue with the Private and/or Public Sector, they more often than not, received no response. This could signify either an unwillingness to engage on the part of the Private or Public Sectors, or indicate that the NPOs are utilising the wrong approach to

connect. In both these instances it infers **a lack of mutual trust and respect between participants of the three different sectors.**

### **5.3.1.5 Conclusion**

In reflection on and answering of the specific research question 1.3.1.3 stated in Chapter 1, namely:

1.3.1.3 According to the NPOs, how are their organisations being empowered?,

The results from the NPOs (discussed under Section 4.2 in Chapter 4) indicated that the NPOs seemingly do not have the opportunity for empowered participation with the Private or Public Sectors, since they have difficulty engaging in dialogue and collective decision-making on equal terms with these sectors. Hence, an assumption can be made that the Private and Public Sectors do not empower the NPOs. The NPOs consequently seem to only have the opportunity to empower themselves. However, few of the NPOs fully engage in this opportunity, and some seem to neglect or even avoid high-level participation with their own staff members.

The information gathered indicates empowerment on an *individual* and *organisational* level for some of the NPOs, but that they had not yet successfully attained community level empowerment. The lack of self-reliance, the dependence on the Public Sector and a decreased capacity, due to a lack of skills or under-staffing, seemed to be the major impediments to empowerment of these NPOs.

Although the NPOs provide for the desperate needs of the community, dialogue and high-level participation with the community were not present. This, in turn, has not lead to the increased capacity or self-reliance, of the community they operate in. Therefore, the NPOs can also not be considered as empowering the community.

The specific research Aim 3 was therefore addressed by the answering of the corresponding specific research Question 1.3.1.3 above, with the indication that the NPOs are not empowered by the Private or Public Sectors, and have to rely on themselves to become empowered organisations and be empowering to their staff, beneficiaries and the community (refer to Section 5.4.2.2 for recommendations to the case study NPOs).

The next research aim focused on the Private Sector and its views on the empowerment process of local NPOs.

### 5.3.2 Research Aim 4: Private Sector

Semi-structured interviews with the three Private Sector participants, were employed as research methods (refer to point 3.6.1 and 3.6.2 in Chapter 3) to gather the empirical information. The results were discussed in detail in Chapter 4 (refer to Section 4.3). Research Aim 4 states:

- 1.4.2.4 To ascertain how the Private Sector views the empowerment process of local NPOs via semi-structured interviews.

The inquiry into the Private Sector was made with the guiding arguments in mind (refer to Chapter 2, Sections 2.2.5.3.1 through to 2.2.5.3.4 where the identified core concepts, constructs and guiding arguments are set out and discussed in detail). The interview questions explored whether the four core concepts of dialogue; participation; cultural diversity; and empowerment leading to self-reliance, and their constructs were present in the communication between the NPOs and the Private Sector.

In general, none of the sub-constructs of dialogue were described by the participants in the communication between NPOs and the Private Sector, **as two-way horizontal communication could not take place between unequal partners who did not trust each other or share the same contexts**. The Private Sector confirmed that the two sectors were unequal partners and it appeared that communication took place on the Private Sector's terms. Trust seemed to be the greatest barrier between the sectors and, neither the Private Sector nor the NPOs have been open to high-level participation with each other. The results thus implied that **participation was purposefully and discreetly blocked** by both the Private Sector and the NPOs. Although the Private Sector indicated an acceptance of cultural differences from both sectors, **the next greatest obstacle between the sectors voiced by the participants, was the differences in organisational culture and education levels**. This suggests a lack of shared meaning and context, which the participants implied as tremendously impeding dialogue and participation. The results showed that NPOs were largely unaware of the fact that the Private Sector operates according to a completely different organisational culture than the NPO sector, while the Private Sector, although it acknowledged respecting the cultural diversity of NPOs, disregarded the indigenous knowledge of NPOs and deemed it irrelevant.

The Private Sector also expressed some concern about the **NPOs' own dependency and sustainability, as well as NPOs creating dependency in their beneficiaries instead of empowering them**.

Specific Research Aim 4 was therefore addressed by the answering of the corresponding specific research question above, with the indication that the Private Sector does not see the NPOs as empowered or empowering organisations, but rather as relievers of social need who themselves are dependent on donations and create further dependency amongst their beneficiaries. However, the Private Sector itself does not come across as being an empowering agent to the NPO sector, as dialogue and participation which should result in empowerment are hampered by a lack of trust and respect between the parties (also refer to Section 5.4.2.1 for recommendations to the Private and Public Sectors).

The next research aim focused on the Public Sector and its views on the empowerment process of local NPOs.

### **5.3.3 Research Aim 5: Public Sector**

Semi-structured interviews with the three Public Sector participants, were employed as research methods (refer to Section 3.6.1 and 3.6.2 in Chapter 3) to gather the empirical information and the results were discussed in detail in Chapter 4 (refer to Section 4.4).

1.4.2.5 To ascertain how the Public Sector views the empowerment process of local NPOs via semi-structured interviews.

The interview questions explored whether the four core concepts of dialogue; participation; cultural diversity; and empowerment leading to self-reliance, and all their constructs were present in the communication between the NPOs and the Public Sector.

The Public Sector voiced that it should take responsibility for capacity building in the NPO sector and should enable NPOs to become self-reliant, in order to empower their organisations and community. Through various forums the Public Sector strives to create a space and opportunity for dialogue, a shared context/meaning as well as conscientisation and praxis *for* NPOs and encourages the NPOs to organise themselves and create their own forums according to different themes/sectors, but not necessarily *with* them. The information gathered from the interviews does not suggest good relationships between the sectors and revealed very limited dialogue occurring and low-level participation. In some cases even overt non-participation from some of the NPOs was demonstrated.

'Culture' was not perceived as an obstacle to communication between the Public Sector and NPOs, but the Public Sector has a varying acknowledgment for cultural diversity amongst the NPOs, presumably due to a lack of exposure to different cultures by some of the participants.

The interviews did however indicate respect for the organisational or group culture and indigenous knowledge of NPOs.

The results, according to the constructs and guiding arguments (refer to Section 4.4 in Chapter 4), suggest that the Public Sector is not an empowering agent to the NPO sector, as dialogue and participation are hindered or in some cases, even opposed owing to considerable distrust and disrespect. This is due to perceived corruption and mismanagement in the NPO sector (refer to Section 4.4.1 item e) in Chapter 4). Results indicated that the large number of NPOs may be a challenge for the Public Sector in communicating successfully with them. The NPOs' perceived lack of education and skills presented another obstacle for communication and compliance with the NPO act.

Specific Research Aim 5 was therefore addressed by the answering of the corresponding specific research question above, with the indication that the Public Sector does not see the NPOs as empowered or empowering organisations, but that they are needed to provide for the social need of the community. There is a heavy dependence on and expectation from the NPO sector on the Public Sector, **but it would seem that the Public Sector could actually be making the NPO sector more dependent on it, instead of self-reliant. The empirical results pointed to a culture of hand-outs being created by the Public Sector** and, more specifically by the local Municipality, teaching people to be dependent and not empowering the NPOs.

## **5.4 GENERAL RESEARCH AIM**

In reviewing all the specific research aims and guiding arguments, the conclusion and interpretation of the empirical results address the General Research Aim:

1.4.1 To ascertain how participatory communication can be used to empower local NPOs as agents of social change.

The empirical results of the three different sectors that were included in the study (namely the NPOs; the Private Sector; and Public Sector) were compared with each other. The final interpretation and conclusion and of the results which follow below, completes the General Research Aim, as well as answers the general research question stated in Chapter 1 under Section 1.3: *“How can participatory communication be used as an empowering process for local NPOs to become agents of social change?”*

#### **5.4.1 Final interpretation conclusion and of empirical results**

The empirical results seem to indicate that trust, respect, and a shared meaning/context were crucial elements in the participatory communication approach and empowerment process, as this determined whether dialogue and participation took place between the parties or not.

##### **5.4.1.1 Dialogue**

The results revealed that the NPOs were unequal partners in communication with the Private and Public Sectors, and that dialogue occurred on the Private and Public Sectors' terms. The NPOs indicated a willingness to enter into dialogue and participation, but seemed to not understand why their approaches with the Private and Public Sectors failed. The Private Sector results confirmed an unwillingness to engage in dialogue and participation with NPOs because of a lack of trust. It did not appreciate the approach which most NPOs used to communicate as, to the Private Sector participants, it was perceived as "begging" and also did not demonstrate respect for, or understanding of, the Private Sector's context. However, the Public Sector claimed that it invited the NPO sector to engage in dialogue and participation, but this did not correspond with the NPO findings which indicated the Public Sector was mostly unavailable to engage with. As far as the NPOs were concerned, the forums the Public Sector mentioned, did not take place regularly.

##### **5.4.1.2 Participation**

The NPOs conveyed that they welcomed participation from the Private and Public Sectors, but did not receive much. However, the results from the Private and Public Sectors indicated that the NPOs seemingly preferred donations, tolerated limited involvement and actually blocked further participation. The results also suggest that the Private and Public Sectors allowed only limited low-level participation and that particularly the Government expected compliance, not participation.

Interestingly the NPOs' responses in the interviews and focus group discussions indicated that it was acceptable when the Private Sector did not engage with them, but they had a very vocal and negative reaction to the Public Sector not engaging with them, suggesting a greater expectancy for help from the Public Sector, coupled with less trust and respect, than for the Private Sector.

### 5.4.1.3 Cultural Diversity

The literature (refer to Section 2.2.5.4.2 in Chapter 2) suggests that cultural diversity influences the quality of social interaction, behaviour, dialogue and willingness to participate and the results supported this. It was also evident that acknowledgement of cultural diversity and a shared context and value system play a significant role in whether dialogue and participation would occur in the first place. The results showed that most of the participants were however unaware of this. The guiding argument (refer to Section 2.2.5.4.3 and Text Box 2.3 in Chapter 2, as well as Section 5.2.13 above), although supported by the NPO results, was proven too simplistic when compared with the results of the Private and Public Sectors. Even though both parties recognized and respected cultural differences, this did not make the challenges of the differences less, increase trust, or make dialogue and participation easier.

### 5.4.1.4 Empowerment

Neither the Private nor Public Sectors view the NPOs as empowering organisations and, the results also suggested that neither of these sectors were successful empowering agents to the NPO sector. Dialogue and participation should result in empowerment but are impeded by a lack of trust and respect between the different parties.

According to the theory and guiding arguments (refer to Sections 2.2.5.4.1 through to 2.2.5.4.4 in Chapter 2), it would stand to reason that if the NPOs did include all their stakeholders in dialogue and participation, and acknowledge and respect their cultural differences, the NPOs would be more empowered organisations, in turn empowering their community.

## 5.4.2 Conclusion

The theory suggests that engaging in two-way horizontal dialogue is the first step towards participatory communication and, without it, the consecutive participation and respect for cultural diversity cannot occur. This means the desired empowerment cannot be a result. The theory, supported by the empirical results, indicates that the responsibility for empowerment of the NPOs lies with all three sectors, as **dialogue is not a one-sided affair. Time and commitment** are important factors as well as resources for building **mutual trust and respect** to establish relationships and a shared meaning/context, which seem to be a huge challenge to all three sectors, but especially to the Private and Public Sector.

**Dialogue and participation can, however, not be forced.** If there is no equal right and opportunity to communicate, with participants constantly switching between listening and speaking, and a willingness to participate between *both* parties, dialogue resulting in participation, cannot take place (refer to the guiding argument under Section 5.2.1.1, as well as Section 2.2.5.4.1 and Text Box in Chapter 2). NPOs do not have this equal right with either the Private or Public Sectors and, because they are requesting funding and support, they will always be in a disadvantaged position and have to communicate on the Private or Public Sectors' terms.

The literature study identified the participatory approach as the current normative theory on communication for social change but, the interview and focus group discussion results suggest that it might be more challenging in an actual setting, than the literature proposes. The NPO's reality of struggling to survive, the massive social need, and power struggles amongst its own members, together with the differences in organisational culture, education levels and dedication of the NPO members versus that of the Private and Public Sectors, pose enormous challenges in communication. These challenges impede dialogue, participation and trust amongst the parties. The Private Sector specifically indicated that, although it acknowledged the importance of the existence of NPOs and was willing to support a good cause, it wanted measurable proof that an NPO made a difference in the community and was sustainable. Time was also a limiting factor affecting the Private Sector's involvement. Establishing trustworthy relationships with NPOs could be time consuming and most businesses were not willing to invest in this. Various scholars have identified the participatory approach to development and communication as difficult to measure and commented that it is a long-term and slow process of relationship-building through horizontal dialogue and an equal right to engage in it (Freire 1970; Servaes, Jacobson & White, 1996; Gumucio Dagron 2001; Chitnis, 2005; Otto & Fourie, 2016).

In the interviews and focus groups all three sectors emphasised the need for education and skills training for the NPOs to empower them and the community they serve. The Private and Public Sectors seemed willing to and/or be responsible for providing the required education and skills training. This seems to be the common ground on which the three sectors can engage effectively as this is a mutual development goal creating space for a shared meaning/context. NPOs cannot be change agents in the community if they are not empowered themselves, and have the opportunity or skills to participate in social and political arenas.

From the above conclusion and interpretation, some recommendations were made to the different sectors.

### **5.4.3 Recommendations to participating sectors in the study**

Since all three sectors emphasised **skills training and education** as a need and a means to empower NPOs, this could be the starting point and goal of participation and relationship building. The NPOs seemed keen to receive any training, while the Public Sector preferred the focus to be on funding NPOs and compliance to the NPO Act. The Private Sector identified the need for business and financial skills training for NPOs as a way to empower them.

The researcher, however, recommends training in not just these skill sets, but also in fundraising and communication skills relating to organisational culture, public relations, marketing and stakeholder relationships. Communication is just as important a resource as money, as the NPOs who communicate better, should reach more donors and beneficiaries and build better relationships. The empirical results support this in the case of Mosaic, who emerged as the only empowered NPO from the five case studies, and having very good relationships with the Private Sector and various donors. This NPO understood corporate identity and organisational culture, and their communication with donors focused on the stories of their individual beneficiaries to move the hearts of donors, without being perceived as begging. Survivalist NPOs cannot afford communication specialists for Public Relations and professional communication, and this creates space for the Private and Public Sectors to provide for this need. Stakeholder relationship management is critically important for all three sectors.

With the conclusion and interpretation of Section 5.4.1 above in mind, and using the guiding arguments (refer to Sections 2.2.5.3.1 through to 2.2.5.3.4, and repeated above under Sections 5.2.1.1 to 5.2.1.4) in order to answer the general research question of “How can participatory communication be used as an empowering process for local NPOs in becoming agents of social change?”, the following recommendations to the various sectors can be made:

#### **5.4.3.1 Private and Public Sectors**

The empirical results indicated that the Private Sector is unwilling to engage with the NPOs because of a lack of trust. The Public Sector’s initiatives do not have the desired results of participation because the NPOs do not trust or respect them. Trust and respect can, however, only be built up over time, with commitment and relationships being cultivated between the different parties.

It is recommended that the channels which the Private and Public Sectors initially employed to establish dialogue with the NPO sector, such as the Potch Community Forum (PCF) and various other NGO forums that appeared to fade away in frequency and intensity, be revisited

and that the commitment be made to invest the necessary time and other resources to sustain the forums with dependable, regular frequency. It is suggested that the year's forum dates be made public, in advance, so that planning can be done accordingly and NPOs can know when to expect forums. Long-term strategic planning is needed to pursue dialogue and relationship with the NPOs not on an ad hoc basis, which the results indicated is the status quo. A focused, committed, planned communication strategy is needed, which is not relinquished half-way. The Public Sector's ability and approach to reach all the local NPOs should also be rethought. At the moment, they are not reaching everyone, communication is infrequent, and the response time for feedback on requests is too long or does not happen at all. No feedback is a recipe for frustration and does not build trust with NPOs.

The Public and Private Sectors' communication strategy should focus on creating two-way horizontal dialogue and take the culture and education levels of the NPOs into consideration, as it affects how dialogue and communication are received. For example, NPOs who are noncompliant with the NPO Act cannot be funded, but do all NPOs realise this? The empirical results suggest that not all NPOs are aware of this due to low education levels and/or misconceptions, which create anger and frustration with the Public Sector.

Efforts to engage with different cultures should not just be cosmetic or superficial, for example appointing one staff member who speaks an African language. There should be a genuine interest in learning about and sensitising all staff to the variety of different cultures, including organisational cultures. This should create more respect and trust between the sectors.

Dialogue motivates participation and the engagement in conscientisation and praxis (collectively reflecting on the community's shared needs and problems and then moving on, to take action to provide for said needs or solve the problems). Once relationship and trust are established, educating the NPOs, which the Private and Public Sectors identified as a major need, should have an empowering effect if it is done by way of participation and, decisions are made *with* the NPOs and not *for* them (as opposed to the "domination" of "banking education" as mentioned by Freire – refer to Section 2.2.5.2.1). It is recommended that wherever practically possible, the sectors engage in high-level participation (not just sharing of information and consultation), which implies collaboration and empowered participation in the form of collective decision making, throughout the planning, implementation, and evaluation stages and benefits resulting from development and social change projects or policies. The Public Sector should become aware that mere compliance to the NPO Act does not constitute high-level participation with or from NPOs. The inclusion of NPOs in decision-making should not only increase participation and build relationship, but also give NPOs a sense of ownership and agency to empower them towards not just providing for social need, but effecting social change.

Education and training through short-term and once-off workshops are not recommended as they do not build long-term relationships. The researcher recommends a mentoring approach instead and that Private Sector companies “adopt” an NPO in which they can invest in the long-term. As mentioned in the conclusion and interpretation of results (refer to Section 5.4.1) the Private Sector is concerned with sustainability of NPOs and wants measurable results of NPOs’ impact in the community or their own involvement with NPOs. However, besides ascertaining what to measure, it also comes down to time and a long-term planning focus or investment – there is more to measure in a long-term relationship than a once-off engagement with NPOs. This long-term mentoring relationship should also provide the opportunity for the Private Sector to sensitise the NPOs to corporate culture, while simultaneously sensitising the sector to the unique cultures of NPOs (i.e. organisational as well as in terms of race, language and tradition).

The next section gives recommendations to the NPOs specifically.

#### **5.4.3.2 NPOs**

From the empirical results, the NPOs seem to only have the opportunity to empower themselves, as they do not have the opportunity for empowered participation with the Private or Public Sectors, and have difficulty engaging in dialogue and collective decision-making on equal terms with these sectors. It is therefore recommended that NPOs fully engage in the opportunity to empower themselves by not neglecting or avoiding high-level participation with firstly their own staff members, and then also all other stakeholders.

The guiding argument on empowerment leading to self-reliance (refer to Text Box 2.4 and Section 5.2.1.4) is a recommendation in itself to local NPOs. It refers to empowerment on individual, organisational and community levels. **What the local NPOs must realise is that empowerment starts from the inside out.** An organisation cannot be empowering to the community if it is not first empowered itself and can inspire empowerment in individuals inside the organisation, followed by individuals in the community. The empowerment process of an NPO has an intra-, inter- and extra-organisational component as it focuses on its own organisational structure and purpose, interaction and collaboration with other NPOs, and also the larger environment in which they function.

Although there is an expectation that the Private and particularly the Public Sectors should help to enable and empower the NPO sector, **NPOs should focus on becoming more self-reliant** in being effective organisations, setting and reaching goals, and not be solely dependent on one donor or even one sector for their survival and direction.

It is recommended that the NPOs **actively pursue relationship through two-way horizontal dialogue** in order to reach their development goals, and not wait to be approached by another party. Although the case study NPOs exhibited an eagerness to communicate with the Private and Public Sectors in asking for resources, they didn't quite understand why their approaches (mostly in writing) did not work. The Private Sector pointed out an intense dislike for approaches which resembled what they perceived as "begging". The results indicated that many NPOs thanked donors for donations, but did not communicate or involve donors any further in their projects. NPOs mostly requested funding from the Private and Public Sectors, not participation or collaboration, and actually discreetly blocked participation. NPOs need to be willing to participate and learn, put their own egos aside, and realise that they should communicate and show potential donors that they are trustworthy. It is recommended that the NPOs approach the Private and Public Sectors for mentoring, not just funding, which implies long-term relationships. Wiggill (2014) specifically refers to donors' need for self-actualisation, and that NPOs could provide this by communicating the impact of the donor's funding on someone's life.

Very small NPOs, such as Ikageng Day Care Centre for the aged which basically consists of an individual, could accomplish more if they invested in a group of like-minded staff members or volunteers who are mentored and included in decision-making. Mosaic, which is a much larger and empowered organisation, should be aware of a tendency to engage only in high-level participation with its management members, and low-level participation with the rest of their staff and stakeholders. This NPO does not seem to be as empowering as it seems to think it is, and with its focus on the organisation's growth and its own selected beneficiaries, could neglect the empowerment of their own management members and excluding the community completely. Since it is a fast growing NPO which has been operating in the community for several years already, it is suggested that management members invest in themselves, their staff, beneficiaries and surrounding community by becoming more serious about the incorporation and understanding of local African culture by learning to speak Setswana.

With these recommendations in mind, the next section focuses on some of the limitations of this study, as well as opportunities for future research.

## **5.5 SHORTCOMINGS OF THE STUDY AND OPPORTUNITIES FOR FURTHER RESEARCH**

The study examined concepts such as dialogue, trust, participation, culture and shared context in a development setting, but the researcher was keenly aware that these concepts also played

a role when interacting with the participants, and had an influence on how the information was collected and how easily the participants connected with the researcher or not.

The results of the study indicated that culture and education were much greater determining factors than the researcher had anticipated and, this was also true of the information collection process. It was easier to gain information from members of NPOs who had similar education and cultural backgrounds to the researcher, than with members from different cultural and educational backgrounds. Trust and a shared context were similarly displayed: participants in the focus group discussions would have shared more easily from the start and would not have taken time to warm up to the researcher if they had spent more time to be with the researcher or, had a pre-existing relationship and shared context with the researcher. Participants from Thakaneng seemed especially timid and wary of the researcher, because they were not informed earlier by their manager that the interview would take place, had never met the researcher previously, and their manager wasn't present at the time of the interview. Of these participants few had finished high school or had any tertiary education.

The researcher found it difficult to keep the interviews' duration to 60 minutes and it often extended to 90 minutes, since many concepts had to be explained to participants and some participants (one individual in particular) enjoyed talking and describing things in much detail, and would often go off-topic during the interview. Another individual talked excessively but most of their sentences and thoughts were incomplete and the researcher had to prompt and re-ask questions in order for the participant to finish thoughts and for the researcher to make sure questions were answered and the answers understood.

The time it took to get into contact with the Public Sector to request and secure interviews, was a limitation, which delayed the study for months. Information and contact details on the DSD and Municipality's websites were limited and it took multiple telephone calls, e-mails and personal visits to these offices to firstly identify who to approach as relevant participants, secondly receive approval from their superiors, and thirdly to secure interview dates.

Opportunities for further research include repetitions of this study in different settings, different NPOs and in different provinces, as well as an investigation into the practical application of the findings, like how to apply the guiding arguments for example. An NPO's approach to participatory communication, before and after sensitising it to the importance of dialogue and a participatory communication strategy, could be an interesting application. Another suggestion is to investigate the nature of communication and the communication strategy of the Public Sector with NPOs, specifically the DSD and Municipality, more closely since they are expected to develop communities through interaction with NPOs and are responsible for social change. An interdisciplinary research focus on NPOs and the Private and Public Sectors would be valuable,

since communication for social change, development studies, public relations and communication strategy are all represented in these organisations and sectors. Another research opportunity is to investigate the perspective of the NPOs' beneficiaries as to the nature of the NPOs' communication with them and, to investigate whether they are empowered by the NPOs, since the goal of social change is the empowerment of these beneficiaries.

The reality is that survivalist NPOs cannot afford communication specialists for public relations and professional communication. Therefore, a final recommendation for future research which would contribute to society and local community development and social change, is how to develop, teach and apply communication strategies, which incorporate indigenous knowledge, *with* the NPOs in a practical and cost-effective way.

## **5.6 CLOSING REMARKS**

This chapter presented the findings of the empirical analysis and the research questions which were originally asked, as well as the research aims which were set in Chapter 1 (Sections 1.3 and 1.4) being answered and reached.

With reference to the study's theoretical background, it was concluded in this chapter that there is a dialectic synergy between participation and empowerment. It seems unlikely that organisations can be empowered to influence or change the larger environment and community, without first empowering the individual members in the organisation itself, as they would be less likely to participate or be skilled in decision-making and problem-solving behaviours.

In the discussion of the empirical analysis it was found that only one of the five case study NPOs was empowered, while neither the Private nor Public Sectors are currently empowering agents to the NPOs. Trust and respect and a shared meaning or context were identified as key determining factors in the participatory communication approach and empowerment process, as this determined whether dialogue and participation occurred between the parties, while culture influenced the quality of social interaction, behaviour, dialogue and willingness to participate.

From these discussions, based on the literature and the derived guiding arguments, various recommendations were devised and, in doing so, the general research question "*How can participatory communication be used as an empowering process for local NPOs to become agents of social change?*" was answered. All three sectors were encouraged to invest in long-term relationships with each other, which include high-level participation and horizontal two-way dialogue built on trust and respect, with a collective focus on the mutually identified goal of education and training of NPOs.

This study maintained throughout that NPOs have an enormous potential to be change agents, inspiring social change and addressing developmental needs in the local community. Empowering or enabling local NPOs by giving them agency to act, to become self-reliant, and to have an input in planning and policy-making, should result in social change, beneficial to themselves and the community.

However, the results found that the majority of the studied NPOs are currently survivalist and merely capable of being relievers of social need, instead of agents of social change. NPOs cannot be change agents in the community if they themselves are not empowered and given the opportunity or skills to participate in social and political arenas.

Recommendations for training and education based on mentorship, participation and the consideration of culture and indigenous knowledge in the following fields were made: financial management, fundraising and communication skills training relating to organisational culture, public relations, marketing and stakeholder relationships. The responsibility for their empowerment lies with the NPO and Private and Public Sectors collectively.

## Bibliography

- Aber, M.S., Maton, K.I. & Seidman, E., eds. 2011. Empowering Settings and Voices for Social Change. New York: Oxford University Press.
- Ahern, T., & Joyaux, S. 2008. Keep your donors: The guide to better communications and stronger relationships. New Jersey: John Wiley.
- Albrecht, T.L. 1988. Communication and control in empowering organizations. (*In* Anderson, J.A. ed., *Communication yearbook* 11, p. 380–390).
- Anderson, R., Baxter L.A. & Cissna, K.N., eds. 2004. Dialogue. Theorizing Difference in Communication Studies. Thousand Oaks: Sage Publications.
- Arnstein, S.R. 1969. A Ladder Of Citizen Participation. *Journal of the American Institute of Planners*, 35(4):216-224.
- Bamard, D. & Y. Terreblanche. 2001. PRODDER The South African Development Directory. Pretoria: Human Sciences Research Council.
- Bessette, G. 2004. Involving the community. A Guide to Participatory Development Communication. Penang: Southbound and Ontario: International Development Research Centre.
- Bauer, M.W. & Gaskell, G., eds. 2002. Qualitative Researching with Text, Image and Sound. London: Sage Publications.
- Bawa, S. 2012. Women's rights and culture in Africa: a dialogue with global patriarchal traditions. *Canadian Journal of Development Studies / Revue canadienne d'études du développement*, 33 (1):90-105.
- Beltran, L.R. 1979. A farewell to Aristotle: 'Horizontal' Communication. (*In* Gumucio-Dagron, A. & Tufte, T. eds. 2006. *Communication for Social Change Anthology: Historical and Contemporary Readings*. Communication for Social Change Consortium. p. 157-171).
- Berg, B.L. 2001. Qualitative Research Methods for the Social Sciences. 4th ed. Boston: Allyn & Bacon.
- Berlo, D.K. 1960. The process of Communication: An Introduction to Theory and Practice. San Francisco: Rinehart Press.

- Bosch, S. 2009. The communication approach of the loveLife HIV/AIDS prevention programme. Potchefstroom: North-West University. (Dissertation - MA).
- Brundtland, H. 1987. Our Common Future. Oxford: Oxford University Press for the World Commission on Environment and Development.
- Burchell, J. & Cook, J. 2008. Stakeholder dialogue and organisational learning: changing relationships between companies and NGOs. *Business Ethics: A European Review*, 17(1):35-46.
- Cater, N. 2005. Empowering NGOs. *New African*. 44-46, Feb.
- Chitnis, K.S. 2005. Communication for empowerment and participatory development: A social model of health in Jamkhed, India. Ohio: College of Education Ohio University. (Thesis - PhD).
- Cohen, D. & Crabtree, B. 2006. Qualitative Research Guidelines Project. <http://www.qualres.org/HomeInte-3516.html> Date of access: 24 May 2014.
- Dag Hammarskjöld Foundation. 2014. Sweden. <http://www.dhf.uu.se/about/> Date of access: 24 May 2014.
- Dag Hammarskjöld Foundation. 1982. 5th ed. The 1975 Dag Hammarskjöld Report. What Now: Another Development. Sweden: MotalaGrafiska AB.
- Davids, I., Theron, F. & Maphunye, J.K. 2009. 2nd ed. Participatory Development in South Africa. Pretoria: Van Schaik Publishers.
- Davids, I., Theron, F. & Maphunye, J.K. 2008. 2nd ed. Participatory Development in South Africa. Pretoria: Van Schaik Publishers.
- Daymon, C. & Holloway, I. 2005. Qualitative research methods in Public relations and marketing communications. London: Routledge.
- De Cuellar, J.P. 1995. Our Creative Diversity: Report of the World Commission on Culture and Development. Paris: UNESCO.
- De Melo, J.M. 1979. Communication in the Pedagogy of Paulo Freire. Brazilian Communicational Thinking. (In Gumucio-Dagron, A. & Tufte, T., eds. 2006. Communication for Social Change Anthology: Historical and Contemporary Readings. New Jersey: Communication for Social Change Consortium. p. 175-185).

De Visser, J. & Powell, D. 2012. Service Delivery Protest Barometer 2007-2012. Cape Town: Multi-level Government Initiative, Community Law Centre.

De Wit, J. & Berner, E. 2009. Progressive Patronage? Municipalities, NGOs, CBOs and the Limits to Slum Dwellers' Empowerment. *Development and Change*, 40(5):927–947

Denzin, N.K. & Lincoln, Y.S. 2011. The Sage Handbook of Qualitative Research. 4th ed. London: Sage Publications.

Department of Social Development: see South Africa.

Dezin, N.K. & Lincoln, Y.S., eds. 2003. Collecting and Interpreting Qualitative Materials. 2nd ed. Thousand Oaks: Sage Publications.

Du Plooy, G.M. 2009. Communication Research: Techniques, methods and applications. 2nd ed. Cape Town: Juta.

Dutta, M.J. 2011. Communicating Social Change. Structure, culture and agency. New York: Routledge.

Edwards, M. & Hulme, D., eds. 1992. Making a Difference: NGOs and Development in a changing World. London: Earthscan.

Edwards, M. & Hulme, D., eds. 1995. Non-Governmental Organisations – Performance and Accountability: Beyond the Magic Bullet. London: Earthscan.

Eisenberg, E.M. & Eschenfelder, B. 2009. In the Public Interest: Communication in Nonprofit Organizations. (In Frey, L.R & Cissna, K.N., eds. Routledge Handbook of Applied Communication Research. New York: Routledge. p. 355-379).

Encyclopaedia Britannica. 2014. The Point Four Program.

<http://global.britannica.com/EBchecked/topic/466343/Point-Four-Program> Date of access: 7 May 2014.

Encyclopædia Britannica. 2014. Public Sector, Economics.

<https://global.britannica.com/topic/Public-Sector> Date of access: 27 Feb. 2017.

Evans, P. 1979. Beyond Center and Periphery: A Comment on the Contribution of the World System Approach to the Study of Development *Sociological Inquiry*, 49(4):15-20.

- Fourie, L. & Kloppers, E.M. 2009. Organizations as change-agents in HIV/AIDS programmes through participatory communication. *Journal for community communication and information impact*, 14:89-104.
- Fox, W. & Bayat, M.S. 2013. *A guide to Managing Research*. Cape Town: Juta.
- Freire, P. 1970. *Pedagogy of the oppressed*. New York: Seabury Press.
- Freire, P. 1973. *Education for critical consciousness*. New York: Seabury Press.
- Gray, D.E. 2004. *Doing research in the real world*. London: Sage Publications.
- Greenstein, R. 2003. *State, Civil Society and the Reconfiguration of Power in Post-apartheid South Africa. Centre for Civil Society Research Report 8*. Johannesburg: University of the Witwatersrand.
- Gumucio-Dagron, A. 2008. Vertical Minds versus Horizontal Cultures: An Overview of Participatory Process and Experiences. (In Servaes, J., ed. *Communication for Development and Social Change*. New Delhi: SAGE Publications. p. 68-81).
- Gumucio-Dagron, A. & Tufte, T., eds. 2006. *Communication for Social Change Anthology: Historical and Contemporary Readings*. New Jersey: Communication for Social Change Consortium.
- Habib, A. 2005. State-Civil Society Relations in Post-Apartheid South-Africa. *Social Research*, 72(3):671-692.
- Heap, S. 2000. NGO–Business Partnerships. Research in Progress. *Public Management*, 2(4):556-563.
- Heap, S. 1998. NGOs and the Private Sector: Potential for Partnerships? *Occasional Papers Series no.27*. Oxford: INTRAC.
- Heriott, R.E. & Firestone, W.A. 1983. Multisite qualitative policy research: Optimizing description and generalizability. *Educational Researcher*, 12:14-19.
- Heusca, R. 2008. Tracing the History of Participatory Communication Approaches to Development. (In Servaes, J., ed. *Communication for Development and Social Change*. New Delhi: SAGE Publications. p. 180-198).
- Holloway, I. 1997. *Basic Concepts for Qualitative Research*. Oxford: Blackwell Science.

Holtzhausen, L. 2014. Non-profit organizations bridging the communication divide in a complex South Africa. *Public Relations Review*, 40:286–293.

Huesca, R. 2003. Participatory Approaches to Communication for Development. (In Mody, B., ed. *International and Development Communication: A 21st Century Perspective*. New Delhi: Sage. p. 499-517).

Huesca, R. 2008. Tracing the History of Participatory Communication Approaches to Development. (In Servaes, J., ed. *Communication for Development and Social Change*. New Delhi: SAGE Publications. p. 180-198).

Inglis, T. 1997. Empowerment and emancipation. *Adult Education Quarterly*, 48(1):3-15.

Investopedia. 2017. Private Sector Definition. <http://www.investopedia.com/terms/p/Private-Sector.asp#ixzz4aez5nU8W> Date of access: 7 March 2017.

Jacobson, T. L., & Kolluri, S. 1999. Participatory communication as communicative action. (In T. L. Jacobson & J. Servaes, eds. *Theoretical approaches to participatory communication*. Cresskill, NJ: Hampton Press. p. 265-279).

Jacobson, T. L. 2003. Participatory Communication for Social Change: The Relevance of the Theory of Communicative Action. *Annals of the International Communication Association*, 27(1):87-123.

Jonker, H. 2001. The facilitating role of the Mmabatho ICDL Centre in the process of women empowerment: a development communication perspective. Potchefstroom: PU for CHE. (Dissertation - MA).

Kabeer, N., Mahmud, S. & Isaza Castro, J. 2012. NGOs and the Political Empowerment of Poor People in Rural Bangladesh: Cultivating the Habits of Democracy? *World Development*, 40(10):2044-2062.

Kapoor, I. 2002. Capitalism, culture, agency: dependency versus postcolonial theory. *Third World Quarterly*, 23(4):647–664.

Katz, E. & Lazarsfeld, P. 1955. *Personal Influence*. New York: Free Press.

Kilby, P. 2006. Accountability for Empowerment: Dilemmas Facing Non-Governmental Organizations. *World Development*, 34(6):951–963.

- Kincaid, D.L. & Figueroa, M.E. 2009. Communication for Participatory Development. Dialogue, Action, and Change. (In Frey, L.R & Cissna, K.N., eds. Routledge Handbook of Applied Communication Research. New York: Routledge. p.506-531).
- Kipping, M. 1994. Competing for dollars and technology: the United States and the modernization of the French and German steel industries after World War II. *Business and economic history*, 23(1):229-240, Fall.
- Kumar, K.J. 1994. Communication Approaches to Participation and Development: Challenging the Assumptions and Perspectives. (In White, S.A.W., Nair, K.S. & Ascroft, J., eds. Participatory communication: working for change and development. Thousand Oaks: Sage. p. 77-92).
- Kumar, R. 2014. Research Methodology. A step-by-step guide for beginners. 4th ed. London: Sage Publications.
- Lasswell, H.D. 1948. The Structure and Function of Communication in Society. (In Bryson, L., ed., The Communication of Ideas. New York: Harper and Brothers. p. 215-228).
- Leedy, P.D. & Ormrod, J.E. 2014. Practical Research Planning and Design. 10th ed. London: Pearson Education Limited.
- Lewis, D. 2007. The Management of Non-Governmental Development Organizations. 2nd ed. New York: Routledge.
- Luthuli, M.S. 2013. Background on Ikageng Day Care Centre for the Aged [personal interview]. 10 April, Potchefstroom.
- Malan, C.W. 1998. The functions of culture within a development situation. Development Communication as Part of Culture. *Communicare*, 17(1) (In Gumucio-Dagron, A. & Tufte, T. eds. 2006. Communication for Social Change Anthology: Historical and Contemporary Readings. New Jersey: Communication for Social Change Consortium. p. 679-683).
- Malterud, K. 2001. The art and science of clinical knowledge: Evidence beyond measures and numbers. *The Lancet*, 358:397-400.
- Maree, K. & Van der Westhuizen, C. 2007. Planning a research proposal. (In Maree, J.G. ed. First Steps in Research. Pretoria: Van Schaik. p. 23-41).
- Marshall, C. & Rossman, G.B., eds. 1999. Designing qualitative research. 3rd ed. Thousand Oaks, Calif.: Sage Publications.

- Martínez, R.A.B. 2008. Grassroots Support Organizations and Transformative Practices. *Journal of Community Practice*, 16(3):339-398.
- Masiko-Kambala, P. 2013. Public participation more than a tick-a-box exercise. We need a total revamp of service delivery. *Cape Argus*. 15, 24 June.
- Maton, K.I. and Brodsky, A.E. 2011. Empowering Community Settings: Theory, Research, and Action. (In Aber, M.S., Maton, K.I. & Seidman, E., eds. *Empowering Settings and voices for Social Change*. New York: Oxford University Press. p. 38-64).
- Maxwell, J.A. 2013. *Qualitative Research Design*. 3rd ed. London: Sage Publications.
- Mefalopoulos, P. 2008. *Development Communication Sourcebook. Broadening the Boundaries of Communication*. Washington DC: The World Bank.
- Melkote, S. R. & Steeves, H. L. 2001. *Communication for development in the Third World: Theory and practice for empowerment*. New Delhi: SAGE Publications.
- Melkote, S.R. 2006. Everett M. Rogers and His Contributions to the Field of Communication and Social Change in Developing Countries. *Journal of Creative Communications* 1(1):111-121.
- Meyer, C. 2013. Background on Mosaic SA [personal interview]. 10 April, Potchefstroom.
- Miles, M.B., Huberman, A.M. & Saldana, J. 2014. *Qualitative Data Analysis. A methods Sourcebook*. 3rd ed. Los Angeles: Sage Publications.
- Miraftab, F. 1997. Flirting with the Enemy. Challenges Faced by NGOs in Development and Empowerment. *Habitat International*, 21(4):361-375.
- Moemeka, A.A. 1994. Development communication: A historical and conceptual overview. (In Moemeka, A. A., ed. *Communicating for development: A new pan-disciplinary perspective*. New York: State University of New York. p. 3-22).
- Mohan, G. & Stokke, K. 2000. Participatory development and empowerment: The dangers of localism. *Third World Quarterly*, 2(21):247-268.
- Morris, A. 2003. A Comparative Analysis of the Diffusion and Participatory Models in Development Communication. *Communication Theory*, 13(2):225-248.
- Mosaic SA. 2014. Website. <http://mosaic.org/> Date of access: 16 June 2014.

- Munck, R. 1999. Dependency and Imperialism in the New Times: A Latin American Perspective. *The European Journal of Development Research*, 11(1):56-74.
- Naidoo, L. 2010. The participatory development communication approach of Thusong Service Centres in Tshwane. Potchefstroom: North-West University. (Dissertation - MA).
- Nair, K.S. & White, S.A. 1993. Perspectives on Development Communication. New Delhi: Sage Publications.
- Narayan, D. 2005. Measuring empowerment: Cross disciplinary perspectives. Washington, DC: World Bank.
- Narayan, D., Chambers, R., Chan, M.K. & Petesch, P. 2000. Voices of the poor: Crying out for change. New York: Oxford University Press for the World Bank.
- Narayan, D. 2005. Measuring empowerment: Cross disciplinary perspectives. Washington, DC: World Bank.
- Narayan-Parker, D. 2002. Empowerment and poverty reduction: A sourcebook. Washington, DC: World Bank Publications.
- NG Welfare. 2013. Website. <http://www.ngwelsyn.co.za/history.aspx> Date accessed: 16 June 2014.
- Nieuwenhuis, J. 2007. Introducing Qualitative research (*In Maree, J.G., ed. First Steps in Research*. Pretoria: Van Schaik. p. 47-66).
- Nieuwenhuis, J. 2007. Qualitative research designs and data gathering techniques (*In Maree, J.G., ed. First Steps in Research*. Pretoria: Van Schaik. p. 70-92).
- Otto, H. 2004. The creation of an internet Public sphere by the independent electoral commission. Potchefstroom: North-West University. (Mini-dissertation).
- Papa, M.J., Singhal, A., Ghanekar, D.V. & Papa, W.H. 2000. Organizing for Social Change Through Cooperative Action: The [Dis]Empowering Dimensions of Women's Communication. *Communication Theory*, 10(1) 90-123.
- Papa, M.J., Auwal, M.A. & Singhal, A. 1997. Organizing for Social Change Within Concertive Control Systems: Member Identification, Empowerment, and the Masking of Discipline. *Communication Monographs*, 64:219-249.

- Patton, M.Q. 2002. *Qualitative Research and Evaluation Methods*. Thousand Oaks: Sage Publications.
- Pearce, J. & Eade, D. 2006. *Development, NGOs, and Civil Society. Selected essays from Development in Practice. A Development in Practice Reader*. Oxford: Oxfam GB.
- Peterson, N.A. & Zimmerman, M.A. 2004. Beyond the Individual: Toward a Nomological Network of Organizational Empowerment. *American Journal of Community Psychology*, 34(1-2):129-145
- Rahim, S.A. 1994. Participatory development communication as a dialogical process. (In White, S.A.W., Nair, K.S. & Ascroft, J., eds. *Participatory communication: working for change and development*. Thousand Oaks: Sage. p. 117-138).
- Rappaport, J. 1987. Terms of empowerment/exemplars of prevention: towards a theory of community psychology. *American Journal of Community Psychology*, 15:121-14.
- Ridge, J.K. 2013. Background on Mosaic SA [personal interview]. 10 April, Potchefstroom
- Rogers, E.M. 1969. *Modernization among peasants: The impact of communication*. New York: Holt, Rinehart & Winston.
- Rogers, E.M. 1976. Communication and Development. The Passing of the Dominant Paradigm. *Communication Research*, 3(2):213.
- Rowlands, J. 1995. Empowerment examined. *Development In Practice*, 5(2):101-107.
- Rowlands, J. 1997. Questioning empowerment. *Working with Women in Honduras*.
- Royal Bafokeng Nation. 2013. Project spotlight: Capacity building of non-Governmental organisations and community-based organisations in the RBN. <http://www.bafokeng.com/present/project-spotlight> Date of access: 28 Aug 2013.
- Schramm, W. 1964. *Mass Media and National Development*. Stanford, California: Stanford University Press.
- Schramm, W. 1971. Communication in Family Planning. *Studies in Family Planning*, 7:1-43.
- Schulz, A.J., Israel, B.A., Zimmerman, M.A. and Checkoway, B. 1993. Empowerment as a Multi-Level Construct: Perceived Control at the Individual, Organizational and Community Levels. PCMA working paper 40, CRSO working paper 495. University of Michigan.

- Servaes, J. 1995. Development communication for whom and for what? *Communicatio*, 21(1): 39-49.
- Servaes, J. 1996. Participatory communication (research) from a Freirian perspective. *Africa Media Review*, 1:73-91.
- Servaes, J. 1998. Human rights, participatory communication and cultural freedom in a global perspective, *Journal of International Communication*, 5(1-2):122-133.
- Servaes, J. 1999. *Communication for development: one world, multiple cultures*. Cresskill: Hampton Press.
- Servaes, J. 2008. Communication for Development Approaches of Some Governmental and Non-Governmental Agencies. (In Servaes, J., ed. *Communication for Development and Social Change*. New Delhi: SAGE Publications. p.201 - 202).
- Servaes, J. ed., 2008. *Communication for Development and Social Change*. New Delhi: Sage Publications.
- Servaes, J. & Arnst, R. 1999. Principles of participatory communication research: Its strengths (!) and weaknesses (?). (In Jacobson T.L & Servaes, J., eds. 1999. *Theoretical approaches to participatory communication*. New Jersey: Hampton Press. p. 107-130).
- Servaes, J. & Malikhao, P. 2008. Development Communication Approaches in an International Perspective. (In Servaes, J. ed. *Communication for Development and Social Change*. New Delhi: Sage Publications. p. 158-179).
- Servaes, J. & Verschooten, C. 2008. Hybrid Interactions: Human Rights and Development in a Cultural Perspective. (In Servaes, J., ed. *Communication for Development and Social Change*. New Delhi: Sage Publications. p 47-58).
- Singhal, A. & Sthapitanonda, P. 1996. The Role of Communication in Development: Lessons Learned from a Critique of the Dominant, Dependency, and Alternative Paradigms. *Journal of Development Communication*; 7(1):10-25.
- South Africa. Department of Social Development. 2005. *Assessment of NPO Act - January 2005*. Pretoria.  
[http://www.dsd.gov.za/npo/index.php?option=com\\_docman&task=cat\\_view&gid=27&Itemid=116](http://www.dsd.gov.za/npo/index.php?option=com_docman&task=cat_view&gid=27&Itemid=116) Date accessed: 13 April 2013.

South Africa. Department of Social Development. 2012. State of South African Registered Non-Profit Organisations issued in Terms of the Non-Profit Organisations Act 71 of 1997. Pretoria.

[http://www.dsd.gov.za/npo/index.php?option=com\\_docman&task=catview&Itemid=39&gid=81&orderby=dmdate\\_published](http://www.dsd.gov.za/npo/index.php?option=com_docman&task=catview&Itemid=39&gid=81&orderby=dmdate_published) Date accessed: 13 April 2013.

South Africa. Department of Social Development. 2005. Assessment of NPO Act - January 2005. Pretoria.

[http://www.dsd.gov.za/npo/index.php?option=com\\_docman&task=cat\\_view&gid=27&Itemid=116](http://www.dsd.gov.za/npo/index.php?option=com_docman&task=cat_view&gid=27&Itemid=116) Date accessed: 20 April 2013.

South Africa. Department of Social Development. 2008. Core functions. Pretoria.

[http://www.dsd.gov.za/index.php?option=com\\_content&task=view&id=31&Itemid=54](http://www.dsd.gov.za/index.php?option=com_content&task=view&id=31&Itemid=54) Date accessed: 20 April 2013.

South Africa. Department of Social Development. 2011. State of North West Registered Non-Profit Organisations issued in Terms of the Non-Profit Organisations Act 71 of 1997. Pretoria.

[http://www.dsd.gov.za/npo/index.php?option=com\\_docman&task=cat\\_view&Itemid=39&gid=81&orderby=dmdate\\_published](http://www.dsd.gov.za/npo/index.php?option=com_docman&task=cat_view&Itemid=39&gid=81&orderby=dmdate_published) Date accessed: 20 April 2013.

South Africa. Department of Social Development. 2012. State of South African Registered Non-Profit Organisations issued in Terms of the Non-Profit Organisations Act 71 of 1997. Pretoria.

[http://www.dsd.gov.za/npo/index.php?option=com\\_docman&task=cat\\_view&Itemid=39&gid=81&orderby=dmdate\\_published](http://www.dsd.gov.za/npo/index.php?option=com_docman&task=cat_view&Itemid=39&gid=81&orderby=dmdate_published) Date accessed: 20 April 2013.

South Africa. Statistics South Africa. 2012. Census 2011 Statistical release – P0301.4. Pretoria.

Steenkamp, J. 2013. NPOs in Ikageng, Potchefstroom [personal interview]. 10 April, Potchefstroom.

Stewart, J., Zediker, K.E., & Black, L. 2004. Relationships Among Philosophies of Dialogue. (In Anderson, R., Baxter L.A. & Cissna, K.N., eds. *Dialogue. Theorizing Difference in Communication Studies*. Thousand Oaks: Sage Publications. p. 21-38).

Takahashi, K. 2009. Assessing NGO Empowerment in Housing Development Frameworks: Discourse and Practice in the Philippines. *International Journal of Japanese Sociology*, 18:112-127.

- The Banking Association South Africa. 2013. Small Business Definition. <http://www.banking.org.za/index.php/our-industry/small-medium-enterprise/small-business-definition/> Date accessed: 23 August 2014.
- The Community Agency for Social Enquiry (CASE). 2003. Municipal service delivery partnerships. An evaluation of case studies. [http://www.case.org.za/images/docs/municipal\\_service\\_delivery.pdf](http://www.case.org.za/images/docs/municipal_service_delivery.pdf) Date accessed: 20 April 2013.
- The Local Government Handbook. The complete guide to municipalities in South Africa. 2017. <http://www.municipalities.co.za/south-africa/local-municipality/194> Date accessed: 27 Feb. 2017
- The Thakaneng Project. 2014. Website. <http://thakanengpotch.wordpress.com/about/> Date accessed: 16 June 2014.
- Thomas, P. 1994. Participatory Development Communication: Philosophical Premises. (*In* White, S.A., Nair, S. & Ascroft, J., eds. Participatory communication: Working for change and development. New Delhi: Sage Publications. p. 49-59).
- Tlokwe City Council. 2016. Executive Mayor. <http://www.tlokwecitycouncil.co.za/cofficesexecmayor.htm> Date accessed 12 April 2017.
- Tomasseli, K. G., & Aldridge, M. 1996. Cultural strategies in a changing development: reassessing Paulo Freire in the Information Age. *Africa media review*, 10:54-72.
- Truman, H.S. 1949. Inaugural address. Inaugural Addresses of the Presidents of the United States. Washington DC: U.S.G.P.O . <http://www.bartleby.com/124/pres53.html> Date of access: 30 April 2014.
- Tufte, T. & Mefalopulos, P. 2009. Participatory Communication. A practical guide. World Bank Working Paper 170. Washington DC: The World Bank.
- Van Puyvelde, S., Caers, R., Du Bois, C., & Jegers, M. 2012. The Governance of Nonprofit Organizations: Integrating Agency Theory with Stakeholder and Stewardship Theories. *Nonprofit and Voluntary Sector Quarterly*, 41(3):431-451.
- Vermeulen, J. 2012. Deelnemende kommunikasie in die evaluasie van KSV-programme by twee maatskappye. Potchefstroom: North-West University. (Dissertation - MA).

Visser, C.M. 2012. Die aard van kommunikasie in ontwikkelingsprojekte van die Studente-JOOL- Gemeenskapsdiens (NWU-PUKKE). Potchefstroom: North-West University. (Dissertation - MA).

Waisbord, S. 2001. Family tree of theories, methodologies and strategies in development communication. Rockefeller Foundation.  
<http://www.communicationforsocialchange.org/pdf/familytree.pdf> Date of access: 30 April 2014.

Wikipedia. 2016. Tlokwe Local Municipality.  
[https://en.wikipedia.org/wiki/Tlokwe\\_Local\\_Municipality](https://en.wikipedia.org/wiki/Tlokwe_Local_Municipality) Date of access: 27 February 2017.

White, R.A. 2004. Is 'Empowerment' the Answer? Current Theory and Research on Development Communication. *Gazette: The International Journal for Communication Studies*, 66(1):7–24.

White, S., Nair, K.S., & Ascroft, J. 1995. Participation: A key concept in development communication. New Delhi: Sage.

White, S.A. 1994. The Concept of Participation: Transforming Rhetoric to Reality. (In White, S.A., Nair, S. & Ascroft, J., eds. Participatory communication: Working for change and development. Thousand Oaks: Sage. p.15-34).

Wiggill, M.N. 2014. Donor relationship management practices in the South African non-profit Sector. *Public Relations Review*, 40:278–285

Wilkens, K.G., ed. 2000. Redeveloping Communication for Social Change. Theory, Practice and Power. Maryland: Rowman & Littlefield.

Wilkens, K. 2009. WHAT'S IN A NAME? Problematizing communication's shift from development to social change. *Glocal Times. The Communication for Development Journal*, 13:1-7. <https://glocaltimes.mah.se/index.php/gt/article/view/155/154> Date of access: 3 April 2014.

Wilkins, K., Tufte, T., & Obregon, R., eds. 2014. The handbook of development communication and social change. Chichester, England: Wiley-Blackwell.

World Bank. 2012. South Africa overview.  
<http://www.worldbank.org/en/country/southafrica/overview> Date of access: 7 April 2013.

Yin, R.K. 2014. Case Study Research. 5th ed. Thousand Oaks: Sage Publications.

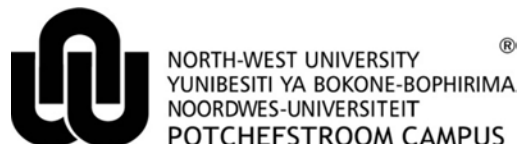
Yoon, C.S. 1996. Participatory Communication for Development (*In* Bessette, G. and Rajasunderarm, C.V., eds. *Participatory Communication Development: A West African Approach*. Malaysia: Southbound. p. 37-64).

Zaunbrecher, K.L. 2011. When culture hurts: dispelling the myth of cultural justification for gender-based human rights violations. *Houston Journal of International Law*, 33(3):679-716.

Zimmerman, M.A. 1990. Taking Aim on Empowerment Research: On the Distinction Between Individual and Psychological Conceptions. *American Journal of Community Psychology*, 18(1):169-177.

Zimmerman, M. A. 2000. Empowerment theory: Psychological, organizational, and community levels of analysis. (*In* Rappaport, J. & Seidman, E., eds. *Handbook of community psychology*. New York: Plenum. p. 43–63).

## Annexure A Example of letter requesting participation in interview: NPO



Private Bag X6001, Potchefstroom  
South Africa 2520

Tel: 018 299-1111/2222  
Web: <http://www.nwu.ac.za>

### School of Communication Studies

Tel: 299-1613 / 084 5480 280  
Fax: 299-1755  
Email: [lize.dossantos@nwu.ac.za](mailto:lize.dossantos@nwu.ac.za)

20 May 2015

Mr Meyer Conradie  
CEO & Co-founder  
Mosaic SA

E-mail:  
[meyer@mosaic.org](mailto:meyer@mosaic.org)

Dear Mr Meyer Conradie

### REQUEST FOR INTERVIEW AND PARTICIPATION IN RESEARCH

Greetings and I hope this note finds you prospering. I am a post graduate student of the North-West University, School of Communication Studies on the Potchefstroom Campus and am conducting research on the empowerment of local development Non-Profit Organisations (NPOs) (in Ikageng, Potchefstroom) as agents for social change through participatory communication. This research is part of my master's degree studies and has been subjected to a university ethical clearance process, and awarded ethical clearance (NWU-00199-13-S7) by the Ethics committee of the North-West University.

For NPOs to reach their development goals of being agents of social change in their communities, they have to interact with their stakeholders in a multi-dimensional and dialectic process of participation.

Herewith I request your assistance in granting me permission to conduct research by using Mosaic SA as a case study by way of a personal interview of yourself (or another manager), as well as a focus group interview with Mosaic staff, during the month of May/June 2015. The interviews will take place at Mosaic's office, participation is voluntary, and privacy with respect to confidentiality and anonymity will be upheld. Participants will not be at risk as no personal or sensitive information will be collected, and information gathered will only be used for the purpose of the research.

Please feel free to contact me or my study supervisor, Ms Hannelie Otto, directly if you have any questions regarding the research. She can be contacted at (018) 299 1653 or via e-mail at [hannelie.otto@nwu.ac.za](mailto:hannelie.otto@nwu.ac.za).

Thank you for your consideration.

Yours sincerely



Ms Lize dos Santos  
084 5480 280



Ms Hannelie Otto  
Study Leader

## Annexure B Example of letter requesting participation in interview: Public Sector



Private Bag X6001, Potchefstroom  
South Africa 2520

Tel: 018 299-1111/2222  
Web: <http://www.nwu.ac.za>

### School of Communication Studies

Tel: 299-1613 / 084 5480 280  
Fax: 299-1755  
Email: [lize.dossantos@nwu.ac.za](mailto:lize.dossantos@nwu.ac.za)

19 August 2015

Ms Mothobi  
Community Development  
Department Of Social Development:  
Provincial Office: North West Province

E-mail: [pmolotsi@nwpg.gov.za](mailto:pmolotsi@nwpg.gov.za)

Dear Ms Mothobi

### REQUEST FOR INTERVIEW AND PARTICIPATION IN RESEARCH

Greetings and I hope this note finds you prospering. I am a post graduate student of the North-West University, School of Communication Studies on the Potchefstroom Campus and am conducting research on the empowerment of local development Non-Profit Organisations (NPOs) (in Ikageng, Potchefstroom) as agents for social change through participatory communication. This research is part of my master's degree studies and has been subjected to a university ethical clearance process, and awarded ethical clearance (NWU-00199-13-S7) by the Ethics committee of the North-West University.

For NPOs to reach their development goals of being agents of social change in their communities, they have to interact with their stakeholders in a multi-dimensional and dialectic process of participation. The Department of Social Development is such a stakeholder.

Herewith I request your assistance in granting me permission to conduct a personal interview with a community development practitioner at the Potchefstroom service point during August 2015. I have identified Ms Koketso Molosankwe, and her supervisor, Mr Patrick Maluleke has referred me to you for permission. The interview will take 90 mins approximately and be conducted at the DSD service point office. Participation is voluntary, and privacy with respect to confidentiality and anonymity will be upheld. The staff member will not be at risk as no personal or sensitive information will be collected, and information gathered will only be used for the purpose of the research.

Please feel free to contact me or my study supervisor, Ms Hannelie Otto, if you have any questions regarding the research. She can be contacted at (018) 299 1653 or via e-mail at [hannelie.otto@nwu.ac.za](mailto:hannelie.otto@nwu.ac.za).

Thank you for your consideration.

Yours sincerely



Ms Lize dos Santos



Ms Hannelie Otto  
Study Leader

## Annexure C Example of letter requesting participation in interview: Private Sector



Privaatsak X6001, Potchefstroom  
Suid-Afrika 2520

Tel: 018 299-1111/2222  
Web: <http://www.nwu.ac.za>

### Skool vir Kommunikasiestudies

Tel: 299-1613  
Sel: 084 5480 280  
Faks: 299-1755  
E-pos: [lize.dossantos@nwu.ac.za](mailto:lize.dossantos@nwu.ac.za)

16 Julie 2015

Me Marlouis Broodryk

Per e-pos:  
[marlouisemaritz@gmail.com](mailto:marlouisemaritz@gmail.com)

Geagte me Marlouise Broodryk

## VERSOEK OM ONDERHOUD EN DEELNAME AAN NAVORSING

Ek is 'n nagraadse student van die Noordwes-Universiteit, Skool vir Kommunikasiestudies op die Potchefstroomkampus en besig met navorsing oor die bemagtiging van plaaslike nie-winsgewende organisasies (NWO's) (in Ikageng en Potchefstroom), as agente vir sosiale verandering deur middel van deelnemende kommunikasie. Hierdie navorsing is deel van my meestergraadstudies en was onderhewig aan die universiteit se etiese klaringsproses deur die Etiekkomitee. Die studie het etiese klaring met verwysingsnommer NWU-00199-13-S7 ontvang.

Vir NWO's om hul ontwikkelingsdoelwitte as agente vir sosiale verandering in hul gemeenskappe te bereik, moet hulle met hul belangegroep deur 'n multidimensionele en dialogiese proses van deelname, interaksie hê. Die privaatsektor is so 'n belangegroep en die Potch-Tlokwe Sakekamer verteenwoordig dit plaaslik. Ek het 'n paar van die Potch Gemeenskapsforum se vergaderings gedurende 2014 bygewoon en daarom wil ek u graag vir 'n persoonlike onderhoud gedurende Julie 2015 rakende die skakeling tussen plaaslike NWO's en die Sakekamer nader. Die onderhoud sal by u kantoor of 'n lokaal van u keuse plaasvind en ongeveer 'n uur en 'n half duur.

U is welkom om my of my studieleier, me Hannelie Otto, te kontak indien u enige vrae oor bogenoemde studie het. U kan haar by (018) 299 1653 of via e-pos by [hannelie.otto@nwu.ac.za](mailto:hannelie.otto@nwu.ac.za) kontak.

Dankie vir u oorweging.

Vriendelike groete



Me Lize dos Santos



Me Hannelie Otto  
Studieleier

## Annexure D Interview Schedule

<b>Date</b>	<b>Time</b>	<b>Organisation/Sector</b>	<b>Participant</b>
10 June 2015	10:00	Mosaic SA (NPO)	Ms Louise Conradie
10 June 2015	12:00	Ikageng Day Care Centre for the Aged (NPO)	Ms Susan Luthuli
12 June 2015	9:00	The Thakaneng Project (NPO)	Mr Meshack Seemelo
12 June 2015	11:00	NG Welsyn (NPO)	Focus Group
12 June 2015	12:15	NG Welsyn (NPO)	Ms Retha Erasmus
22 June 2015	10:45	Mosaic SA (NPO)	Focus Group
24 June 2015	11:00	North-West University (Public Sector)	Ms Beatrix Bouwman
15 July 2015	10:00	Private Sector	Mr Dewald van Breda
22 July 2015	11:00	Tshwaraganang Centre of People with Disabilities	Mr Mishake "Coach" Matlawe
22 July 2015	12:30	Tshwaraganang Centre of People with Disabilities	Focus Group
22 July 2015	17:00	Private Sector	Ms Marloise Broodryk
6 August 2015	11:00	The Thakaneng Project (NPO)	Focus Group
17 August 2015	9:00	Tlokwe City Council Local Municipality (Public Sector)	Ms Mabel Mokobe
25 August 2015	16:15	Private Sector	Mr Charlie Fourie
26 August 2015	9:30	Combined NPO Focus Group Discussion	Focus Group
4 September 2015	8:30	Department of Social Development (Potchefstroom)	Ms Kokekto Molosankwe

## **Annexure E Solemn Declaration**

I, Lize dos Santos, declare herewith that the dissertation entitled

**The empowerment of local development NPOs as agents for social change through participatory communication**

which I herewith submit to the North-West University, Potchefstroom Campus, in compliance with the requirements set for the Master of Arts in Communication Studies degree, is my own work, has been language-edited in accordance with the requirements and has not already been submitted to any other university.

I understand and accept that the copies that are submitted for examination become the property of the University.

Signature of student: 

University number: 11338776

Signed at Potchefstroom this 20<sup>th</sup> day of September 2017.

## **Annexure F Confirmation of Language Editing**

Ms Cheryl A Eagger  
P O Box 6121  
FLAMWOOD  
2572

18 September 2017

### **TO WHOM IT MAY CONCERN**

Dear Sir / Madam

### **MASTER'S DISSERTATION - LIZE DOS SANTOS** **LANGUAGE EDITING**

This serves to confirm that I, **Cheryl Ann Eagger**, Identity No. 600723 0214 18 0, assisted **Lize Dos Santos** with the language editing for her Master's dissertation entitled "*The Empowerment of Local Development NPOs as Agents for Social Change Through Participatory Communication*".


I have been a Personal Assistant / Secretary for the past ±36 years, at an executive level, composing and editing various forms of documentation on behalf of my employer/s (for example: correspondence, reports, brochures, presentations, training aids/material, etc.) covering a wide range of subject matter.

Furthermore, English is my mother tongue and I was educated in the United Kingdom at Sherborne School for Girls, Dorset where I passed my "O" Level & "A" Level examinations as set by the Oxford & Cambridge University Examination Board (subjects taken included English Language and English Literature).

In addition, I obtained a 1st Class Secretarial Diploma at St Godric's College, Hampstead, London, United Kingdom.

Trust this meets with your requirements,

Yours faithfully



**CHERYL EAGGER**