

**University of South Bohemia in České Budějovice**

**Faculty of Theology**

**Dissertation**

**An evaluation of ethical aspects of philanthropic strategies employed  
by charitable organisations operating in Mongu district of Western  
Zambia**

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**Study Program: Doctoral Charity Theory**

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## DECLARATION

I declare that I am the author of this qualification thesis and that I have prepared it using only the sources and literature indicated in the list of sources used.

Date: August 31, 2023

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Signature: 

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## TABLE OF CONTENTS

<b>CHAPTER 1: STUDY OVERVIEW</b> .....	<b>1</b>
<b>1.1 PROPOSED TOPIC AND KEY WORDS</b> .....	<b>1</b>
1.1.1 PROPOSED TOPIC.....	1
<b>1.1.2 KEY WORDS:</b> .....	<b>1</b>
<b>1.2 INTRODUCTION</b> .....	<b>1</b>
<b>1.3 BACKGROUNDS AND PROBLEM STATEMENT</b> .....	<b>2</b>
1.3.1 BACKGROUND.....	2
1.3.2 PROBLEM STATEMENT.....	4
<b>1.4 CENTRAL RESEARCH QUESTION</b> .....	<b>7</b>
<b>1.5 AIM OF THE STUDY</b> .....	<b>7</b>
1.5.1 SPECIFIC OBJECTIVES .....	7
<b>1.6 HYPOTHESIS</b> .....	<b>8</b>
1.6.1 SIGNIFICANCE OF THE STUDY .....	8
<b>1.7 RESEARCH METHODOLOGY</b> .....	<b>8</b>
<b>1.8 ETHICAL CONSIDERATIONS</b> .....	<b>10</b>
1.8.1 RISK-BENEFIT ANALYSIS .....	12
1.8.2 GATEKEEPERS .....	16
<b>1.9 BASIC STRUCTURE OF THE DISSERTATION</b> .....	<b>16</b>
<b>CHAPTER 2: OPERATIONALISATION OF CHARITABLE ORGANISATIONS                   OPERATING IN MONGU DISTRICT</b> .....	<b>18</b>
<b>2.1 INTRODUCTION</b> .....	<b>18</b>
<b>2.2 ETYMOLOGY OF “CHARITY”</b> .....	<b>18</b>
<b>2.3 DEFINING CHARITABLE ORGANISATIONS AND IDENTIFYING TYPES OF                   CHARITABLE ORGANISATIONS OPERATING IN MONGU</b> .....	<b>21</b>
2.3.1 TYPES OF CHARITABLE ORGANISATIONS.....	23
<b>2.3.1.1 Education charities</b> .....	<b>23</b>
<b>2.3.1.2 Faith based organisations (FBOs)</b> .....	<b>24</b>
<b>2.3.1.3 Health charities</b> .....	<b>24</b>
<b>2.3.1.4 Art and culture charities</b> .....	<b>24</b>
<b>2.3.1.5 Environment charities</b> .....	<b>25</b>
<b>2.3.1.6 Wildlife conservation charities</b> .....	<b>25</b>
<b>2.3.1.7 International NGOs</b> .....	<b>25</b>
2.3.2 CHARITABLE ORGANISATIONS OPERATING IN MONGU .....	26
<b>2.4 HISTORICAL DEVELOPMENT OF CHARITY LAW</b> .....	<b>26</b>

<b>2.5 THEORETICAL FRAMEWORK FOR THE ETHICAL EVALUATION OF PHILANTHROPIC STRATEGIES BY CHARITABLE ORGANISATIONS.....</b>	<b>29</b>
2.5.1 ETHICAL PERSPECTIVES FROM PASTORAL THEOLOGY.....	29
<b>2.5.1.1 Ethical reflection with universal ethical principles .....</b>	<b>30</b>
<b>2.5.1.2 Equal regard .....</b>	<b>31</b>
<b>2.5.1.3 Good practice.....</b>	<b>31</b>
<b>2.5.1.4 Practical moral reasoning (phronesis).....</b>	<b>31</b>
<b>2.5.1.5 Summary of ethical perspectives from pastoral theology .....</b>	<b>32</b>
2.5.2 ETHICAL PERSPECTIVES FROM SOCIAL WORK.....	33
<b>2.5.2.1 Spirituality in social work and social work ethics.....</b>	<b>34</b>
<b>2.5.2.2 Ethical dilemmas and ethical decisions in social work .....</b>	<b>38</b>
<b>2.5.2.3 Summary of ethical perspectives from social work.....</b>	<b>40</b>
2.5.3 ETHICAL PERSPECTIVES FROM COMMON LAW.....	41
<b>2.5.3.1 Theoretical interpretation of charitable organisations and purposes.....</b>	<b>41</b>
<b>2.5.3.2 Ethical reflection on charitable organisations and purposes .....</b>	<b>42</b>
a) Equality and fairness .....	43
b) Right to self-determination .....	44
c) Deserving and undeserving poor.....	46
d) Transparency and accountability .....	47
e) Good practice .....	49
<b>2.5.3.3 Summary of ethical perspectives from common law.....</b>	<b>50</b>
<b>2.6 CONCLUDING PERSPECTIVES ON CHAPTER 2.....</b>	<b>51</b>
<b>CHAPTER 3: RESEARCH DESIGN AND METHOD .....</b>	<b>53</b>
<b>3.1 INTRODUCTION .....</b>	<b>53</b>
<b>3.2 RESEARCH DESIGN .....</b>	<b>54</b>
3.2.1 QUALITATIVE RESEARCH.....	55
<b>3.2.1.1 Explorative Approach .....</b>	<b>55</b>
<b>3.2.1.2 Descriptive Approach .....</b>	<b>56</b>
<b>3.2.1.3 Contextual Approach .....</b>	<b>57</b>
<b>3.3 RESEARCH METHOD.....</b>	<b>65</b>
3.3.1 DATA COLLECTION.....	65
<b>3.3.1.1 Semi-Structured Interviews.....</b>	<b>66</b>
<b>3.3.1.2 Guidelines for semi-structured interviewing .....</b>	<b>68</b>
<b>3.3.1.3 Triangulation .....</b>	<b>68</b>
<b>3.3.1.4 Sampling.....</b>	<b>70</b>
<b>3.3.1.5 Pilot Study .....</b>	<b>72</b>
3.3.2 DATA ANALYSIS .....	72
<b>3.4 TRUSTWORTHINESS OF THE RESEARCH PROCESS.....</b>	<b>74</b>
3.4.1 CRITERIA AND STRATEGIES TO FOR TRUSTWORTHINESS .....	75
<b>3.5 ETHICAL CONSIDERATIONS.....</b>	<b>82</b>

3.5.1 INFORMED CONSENT .....	82
3.5.2 CONFIDENTIALITY AND ANONYMITY .....	83
3.5.3 RESPECT AND TRUST .....	83
3.5.4 HONEST DISCLOSURE OF RESEARCH FINDINGS .....	83
3.5.5 QUALITATIVE RESEARCH REPORT .....	84
<b>3.6 CONCLUDING PERSPECTIVES ON CHAPTER 3 .....</b>	<b>84</b>
<b>CHAPTER 4: RESEARCH RESULTS AND ETHICAL EVALUATION .....</b>	<b>86</b>
<b>4.1 INTRODUCTION .....</b>	<b>86</b>
<b>4.2 RESULTS OF THE SEMI-STRUCTURED INTERVIEWS .....</b>	<b>87</b>
4.2.1 RESULTS OF THE PILOT STUDY .....	87
4.2.2 DISCUSSION OF THE SAMPLE .....	88
4.2.3 REPRESENTATIVENESS OF PARTICIPANTS .....	88
<b>4.3 ANALYSING THE INTERVIEWS .....</b>	<b>90</b>
4.3.1 RESPONSES FROM THE INTERVIEWS (BOTH INDIVIDUAL AND FOCUS GROUP) .....	91
4.3.2 DESCRIPTION OF THE RESULTS .....	94
4.3.3 THEME 1: REASONS FOR FAILURE BY CHARITABLE ORGANISATIONS IN MONGU TO MAKE POSITIVE IMPACT .....	94
<b>4.3.3.1 Theme 1.1: Reasons related to social-cultural aspects of Mongu people .....</b>	<b>96</b>
a) Theme 1.1.1 Indigenous people not supportive to their own land and people... ..	96
b) Theme 1.1.2 Cultural aspects of the local people and traditional authorities.	97
c) Theme 1.1.3 Tribalism .....	98
<b>4.3.3.2 Theme 1.2 Reasons related to operational praxis .....</b>	<b>98</b>
a) Theme 1.2.1 Lack of continuity / Sustainability .....	98
b) Theme 1.2.2: Personal gain and misappropriation of resources .....	99
c) Theme 1.2.3: Duplicity .....	101
d) Theme 1.2.4: Overdependence on external support .....	102
e) Theme 1.2.5: Lack of effective monitoring and evaluation of NGOs .....	103
f) Theme 1.2.6: Lack of skills and understanding of philanthropic strategies ..	103
g) Theme 1.2.7: Corruption .....	104
h) Theme 1.2.8: Tension with government / political influence .....	105
i) Theme 1.2.9: Uncoordinated and insufficient efforts .....	106
4.3.2 THEME 2: REAL PRESSING PROBLEMS AND FELT NEEDS OF THE PEOPLE .....	107
<b>4.3.2.1 Theme 2.1: Poverty .....</b>	<b>107</b>
<b>4.3.2.2 Theme 2.2: Lack of employment and empowerment .....</b>	<b>108</b>
a) Street kids and child headed homes as a result of a lack of jobs and empowerment.....	110
<b>4.3.2.3 Theme 2.3: Transport and communication .....</b>	<b>110</b>
<b>4.3.2.4 Theme 2.4: Education .....</b>	<b>110</b>
<b>4.3.2.5 Theme 2.5: Health .....</b>	<b>111</b>

a) Water and sanitation are some of the highlighted health related issues.....	111
<b>4.3.2.6 Theme 2.6: Climate change</b> .....	112
4.3.3 THEME 3: STRATEGIES EMPLOYED BY CHARITABLE ORGANISATIONS.....	113
<b>4.3.3.1 Theme 3.1: Networking with government sectors and other stakeholders</b> .....	113
<b>4.3.3.2 Theme 3.2: Community sensitisation</b> .....	114
<b>4.3.3.3 Theme 3.3: Training (capacity building) workshops</b> .....	115
<b>4.3.3.4 Theme 3.4: Connection with churches</b> .....	116
<b>4.3.3.5 Theme 3.5: Appeal to spirituality</b> .....	116
4.3.4 THEME 4: EXPECTATIONS REGARDING CHARITABLE ORGANISATIONS OPERATING IN MONGU.....	117
<b>4.3.4.1 Theme 4.1: NGOs should uplift living standards of the local people</b>	118
a) Empower the community.....	118
b) Provide employment where possible.....	119
<b>4.3.4.2 Theme 4.2: NGOs should supplement government efforts</b> .....	120
<b>4.3.4.3` Theme 4.3: The work of NGOs should be well coordinated among themselves</b> .....	120
<b>4.3.4.4 Theme 4.4: Work of NGOs to cover both rural and urban areas</b> .....	121
<b>4.3.4.5 Theme 4.5: Monitoring and evaluation of NGOs</b> .....	121
<b>4.3.4.6 Theme 4.6: Help vulnerable members of the community</b> .....	122
a) Advocate for social justice.....	122
b) Help the neediest.....	122
c) Widows and orphans.....	122
d) Educational support and talent promotion for children and youths.....	122
e) Inclusion of sports in education and recreation for children and youths.....	123
f) Old people.....	123
<b>4.3.4.7 Theme 4.7: NGOs to be practical and true</b> .....	123
<b>4.3.4.8 Theme 4.8: Community research</b> .....	124
<b>4.3.4.9 Theme 4.9: Capacity building</b> .....	125
<b>4.4 DESCRIPTIVE-EMPIRICAL PERSPECTIVES ON CHAPTER 4</b> .....	125
4.4.1 MEMBER CHECKING.....	126
<b>4.5 ETHICAL EVALUATION</b> .....	127
4.5.1 ETHICAL THEORETICAL PERSPECTIVES.....	127
<b>4.5.1.1 Emmanuel Kant's moral theory: the categorical imperative procedure..</b>	128
a) The categorical imperative procedure.....	130
<b>4.5.1.2 Summary of Kant's moral theory</b> .....	132
<b>4.5.1.3 African "Ubuntu" philosophy</b> .....	132
<b>4.5.1.4 Summary of Ubuntu ethics relevant for philanthropic strategies</b> .....	137
4.5.2 EVALUATION OF ETHICAL ASPECTS OF PHILANTHROPIC STRATEGIES.....	137
<b>4.5.2.1 Lack of an ethic of love</b> .....	137
<b>4.5.2.2 Using humans as means, not ends.</b> .....	139
<b>4.5.2.3 Unequal treatment of clients / unequal distribution of resources</b> .....	140

4.5.2.4	<i>Not addressing true needs of the people</i> .....	140
4.5.2.5	<i>Untruthfulness</i> .....	141
4.5.2.6	<i>Harmful practices to community</i> .....	142
4.6	<b>FINAL REMARKS</b> .....	143
<b>CHAPTER 5: MODEL FOR EVALUATING ETHICAL ASPECTS OF PHILANTHROPIC STRATEGIES EMPLOYED BY CHARITABLE ORGANISATIONS</b> .....		145
5.1	<b>INTRODUCTION</b> .....	145
5.2	<b>SUMMARY OF PERSPECTIVES FROM PRECEDING RESEARCH TASKS</b> .....	146
5.2.1	<b>SUMMARY OF THEORETICAL PERSPECTIVES</b> .....	146
5.2.1.1	<b>GUIDING PURPOSE OF THE RESEARCH</b> .....	147
5.2.1.2	<i>Ethical reflection on universal principals</i> .....	147
5.2.1.3	<i>Theoretical perspectives from pastoral theology</i> .....	147
5.2.1.4	<i>Theoretical perspectives from social work</i> .....	147
5.2.1.5	<i>Theoretical perspectives from common law</i> .....	148
5.2.2	<b>SUMMARY OF EMPIRICAL PERSPECTIVES (RESEARCH RESULTS)</b> .....	149
5.2.2.1	<i>Reasons for failure by charitable organisations in Mongu to make positive impact</i> .....	149
5.2.2.2	<i>Real pressing problems and felt needs of the people</i> . .....	150
5.2.2.3	<i>Philanthropic strategies employed by NGOs</i> .....	150
5.2.2.4	<i>Expectations regarding charitable organisations</i> .....	151
5.3	<b>ACTION-GUIDING CONCEPTS FOR EVALUATING ETHICAL ASPECTS OF PHILANTHROPIC STRATEGIES EMPLOYED BY CHARITABLE ORGANISATIONS OPERATING IN MONGU</b> .....	152
5.4	<b>ESTABLISHING RELATIONSHIPS AMONG CONCEPTS</b> .....	154
5.4.1	<b>AGENT OF PHILANTHROPIC STRATEGIES</b> .....	156
5.4.1.1	<i>Ensure community participation from the outset and throughout</i> ...	157
5.4.1.2	<i>Sustainability</i> .....	157
5.4.2	<b>RECIPIENT OF PHILANTHROPIC STRATEGIES</b> .....	158
5.4.2.1	<i>Community capacity building</i> .....	159
5.4.3	<b>CONTEXTUAL REFERENCE OF PHILANTHROPIC STRATEGIES</b> .....	160
5.4.3.1	<i>Understand the community through community research</i> .....	160
5.4.4	<b>TECHNIQUES ASSOCIATED WITH EVALUATING ETHICS IN PHILANTHROPY</b> .....	161
5.4.5	<b>AIM OF PHILANTHROPIC STRATEGIES</b> .....	161
5.4.6	<b>SOURCE OF ENERGY PROVIDING MOTIVATION FOR EVALUATION OF ETHICS IN PHILANTHROPIC STRATEGIES</b> .....	161
5.4.8	<b>RELATIONSHIP STATEMENTS</b> .....	163
5.5	<b>DESCRIBING THE MODEL</b> .....	165
5.5.1	<b>OVERVIEW OF THE MODEL</b> .....	168
FIGURE 5.1:	<b>ETHICAL PHILANTHROPY</b> .....	168
5.5.3	<b>DEFINITION OF CONCEPTS IN THE MODEL</b> .....	169



5.5.3.1	<i>Ethical reflection as the central concept of evaluating ethical aspects philanthropic strategies employed by charitable organisations</i>	169
5.5.3.2	<i>Community participation</i>	170
5.5.3.3	<i>Community True Needs</i>	171
5.5.3.4	<i>Philanthropic strategies</i>	172
<b>5.6</b>	<b>EXPLANATION OF THE STRUCTURE OF THE MODEL</b>	<b>173</b>
5.6.1	ETHICAL REFLECTION	173
5.6.2	COMMUNITY PARTICIPATION	174
5.6.3	COMMUNITY TRUE NEEDS AND PHILANTHROPIC STRATEGIES	174
<b>5.7</b>	<b>ASSUMPTIONS OF THE MODEL</b>	<b>176</b>
<b>5.8</b>	<b>EVALUATING THE MODEL</b>	<b>177</b>
5.8.1	PEER REVIEW	177
5.8.2	MEMBER CHECKING	178
5.8.3	TRIANGULATION	178
5.8.4	CLARITY	178
5.8.5	SIMPLICITY	178
5.8.6	GENERALITY	179
5.8.6	ACCESSIBILITY	179
5.8.7	IMPORTANCE	180
<b>5.5</b>	<b>CONCLUDING PERSPECTIVES ON CHAPTER 5</b>	<b>180</b>
<b>CHAPTER 6:</b>	<b>SUMMARY PERSPECTIVES, LIMITATIONS, RECOMMENDATIONS, AND IMPLICATIONS FOR FURTHER RESEARCH</b>	<b>183</b>
<b>6.1</b>	<b>INTRODUCTION</b>	<b>183</b>
<b>6.2</b>	<b>SUMMARY AND EVALUATION</b>	<b>183</b>
6.2.1	CHAPTER 1: OVERVIEW OF THE STUDY	183
6.2.2	OBJECTIVE I: CHAPTER 2	186
6.2.3	OBJECTIVE II: CHAPTER 3 & 4	187
6.2.5	OBJECTIVE III: CHAPTER 5	188
<b>6.3</b>	<b>LIMITATIONS</b>	<b>189</b>
6.3.1	NON AVAILABILITY AND SCEPTICISM OF SOME PARTICIPANTS	190
6.3.2	SPECIFIC LITERATURE BASED ON THE RESEARCH CONTEXT	190
<b>6.4</b>	<b>RECOMMENDATIONS</b>	<b>190</b>
6.4.1	IMPLICATIONS FOR FURTHER RESEARCH	191
<b>6.5</b>	<b>CONCLUDING PERSPECTIVES</b>	<b>191</b>
	<b>SOURCE LIST</b>	<b>193</b>
	<b>LIST OF TABLES AND FIGURES</b>	<b>221</b>
	<b>ABSTRACT</b>	<b>222</b>

# CHAPTER 1

## STUDY OVERVIEW

### 1.1 PROPOSED TOPIC AND KEY WORDS

The proposed topic and key words for this research are hereby provided.

#### 1.1.1 Proposed topic

An ethical evaluation of philanthropic strategies employed by charitable organisations operating in Mongu district of Western Zambia

**1.1.2 Key words:** ethics, philanthropy, strategies, charitable organisations (NGO(s), Mongu, Zambia.

### 1.2 INTRODUCTION

The presence of charitable organisations in developing countries such as Zambia dates as way back as the pre-colonial era, but still very little is known about their ethical obligations and operating strategies in the communities, mainly due to lack of relevant national governing policies (Banks and Hulme, 2012:3; Hasnan et al., 2012:777; Mweene, 2006:7). Accordingly, this study has been prompted by the fact that very little or nothing is known about the ethical aspects and operating strategies of charitable organisations in Mongu district despite an influx of such organisations in the area. Furthermore, even as a country, “Zambia has had no national policy to govern the NGO (*Non-Governmental Organisation*) sector”, which includes charities, despite the influx of NGOs in the country since the 1850s (Ministry of Community Development and Social Services, 2018:1-2). It is, therefore, not known to what extent are the ethical obligations of charitable organisations in the country honoured or dishonoured in the implementation of their philanthropic strategies.

According to the just cited government source, an NGO is a “Private voluntary grouping of individuals or associations, whether corporate or unincorporated, not established or operated for profit, partisan politics or any commercial purposes and whom or which have organised themselves for the promotion of civic education, advocacy, human rights, social welfare, development, charity, research or other activity or programme for the benefit or interest of the public through resources mobilized from sources within or outside Zambia”.

In accordance with this definition, the terms charitable organisation(s) and NGO(s) will be appropriately and interchangeably used in this research because charitable organisations are more commonly known as NGOs in Zambia. The last cited government source (Ministry of Community Development and Social Services) is the first and only exclusive policy document so far on the governance of NGOs in Zambia published in April 2018, although it is still undergoing scrutiny and does not contain an explicit ethical code of conduct for NGOs operating in the country. There is, therefore, a definite lacuna for which this research is purposed to make a valuable contribution.

The town of Mongu has been identified as the local context for this study because of its paradoxical combination of characteristics, vis-à-vis relatively smaller population, vast land surface area, chronic high poverty levels, and an influx of NGOs. Although the research findings are hereby valid within the specific time, space, and value context (Botes, 1991:22), Burns and Grove (2009:29) observe that by understanding the meaning of a phenomenon in its context, it becomes rather easier to understand phenomena in other similar contexts. As such, an ethical evaluation of philanthropic strategies employed by charitable organisations in Mongu district will also help to enlighten the wider context of the country on the ethical issues at stake elsewhere charitable organisations are operating, especially that the problematic praxis under study applies to the broader context as well, both nationally and globally as will be seen in the next section.

### **1.3 BACKGROUNDS AND PROBLEM STATEMENT**

The background and problem statement are hereby provided in order to develop a robust and coherent line of argument.

#### **1.3.1 Background**

Mongu is the capital of the Western Province of Zambia (Barotseland) with an estimated human population of one hundred seventy-nine thousand five hundred eighty-five (179,585) according to the official publication of the last National Census of Housing and Population conducted in 2010 (Central Statistical Office, 2012:47). With a land surface area of six thousand three hundred sixty square kilometers (6,360km<sup>2</sup>), the population density of Mongu is estimated at twenty-eight people per square kilometer (28/km<sup>2</sup>). According to the 2015 Living Conditions Monitoring Survey Report by the Central Statistical Office (2016:11, 115), about eighty-two percent (82%) of the people in Mongu

and all Western Province are living in abject poverty due to a combination of factors, including lack of capacity to procure agricultural inputs, very low wages (salaries), and lack of capital and credit facilities to start their own businesses.

Apparently, there are about fifty known charitable organisations (NGOs) operating in Mongu district as at present (Ministry of Community Development and Social Services, 2019). Although most of these NGOs are involved with sensitive groups such as orphaned and vulnerable children, women, and the physically challenged or differently abled, very little or nothing is known about their ethical obligations and operational strategies in the communities, even by the concerned government ministries and departments (Ministry of Community Development and Social Services, 2018:1, 7-9). The Ministry of Community Development and Social Services (2018:9) has just been tasked to spearhead the formulation and implementation of the National NGO Policy. Among others, the ministry is going to register all local and international NGOs operating in Zambia and facilitate the constitution (composition) and operations of the NGO Registration Board.

Even though Zambia as a country has had no policy to govern NGOs from the pre-colonial era, it is still imperative to evaluate the ethical aspects of philanthropic strategies employed by charitable organisations through ethical reflection on universal ethical principles in order to allow the respective organisations and moral communities to test their practices and norms against universally acceptable ethical standards (Osmer, 2008:49). “Ethical reflection” is the use of ethical principles, rules, or guidelines to guide action toward moral ends (Osmer, 2008:161). This comes close to developing the normative perspective on boundary issues that cannot be crossed by our discourse of episodes, situations, and contexts. Thompson (2010:107) writes, “when thinking about any problem it is important to start by establishing own foundational values, which are principles that you are unwilling to compromise”. This is not a matter of importing ethics into the research or problematic praxis, but rather the recognition that ethical norms and values already are part of any project process (Osmer, 2008:149). And the application of such norms and values does not only occur at the end of a project, but is present from the outset and influences it throughout (Browning (1991:39).

Suffice it to extrapolate that the Mongu situation is also not happening in isolation, but involves both local and global concepts, which Stetzar and Putman (2006:5) rightly coined as the emerging “glocal concept” to signify the interplay of global and local concepts in a

given situation. This can be summed up in Bhaskar's (2013) analysis that the world is in complex of crises involving ecological problems, social interactions among people, unequal distribution of wealth and resources, and social justice. Insights from social sciences portray the world as an individual whole and web of relationships in which every action has complex, non-linear and unpredictable effects (Korac-Kakabadse et al., 2002:166). Hence the theme of this research will have to deal with the uniqueness of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district, while being aware of the presence of global traits within the local situation. As already mentioned, understanding the meaning of a phenomenon in its context makes it easier to understand phenomena in other similar contexts (Burns and Grove, 2009:29). As such, this research will contribute to the understanding of charity theory with regard to ethics in philanthropy from the unique context and situation of charitable organisations operating in Mongu district.

It is against the foregoing background that the researcher has been prompted to undertake a systematic evaluation of the subject hereby under study. NEXUS, EbscoHost, and other electronic search results show that no research has yet been conducted on the topic of this research. Therefore, there is a definite lacuna for which this research is purposed to make a positive contribution.

### **1.3.2 Problem statement**

The problem that has prompted this research is the fact that very little or nothing is known about the ethical aspects and operating strategies of charitable organisations in Mongu district despite an influx of such organisations in the area. In addition, even at national level, Zambia has had no national policy to govern charitable organisations, despite the presence of such organisations in the country since the nineteenth century (Ministry of Community Development and Social Services, 2018:1-2). As such, the researcher is hereby prompted to probe the ethical aspects of charitable organisations operating in Mongu district and the extent to which such aspects are honoured or dishonoured in the implementation of their philanthropic strategies.

Charitable organisations are no different in their need to foster ethics, given their public service mission (Hasnan et al., 2012:777). According to the just cited co-authors, ethics may comparatively be more important to charities than non-charitable organisations. Hence one can argue that charitable organisations have an even bigger stake in creating and maintaining a positive public image than private enterprises because their primary

stakeholders are donors. The “donors” are individual persons or organisations who donate money, services, and goods to assist an organisation with its mission and provide operating funds (Cambridge English Dictionary, 2019; Hasnan et al., 2012:777). Donors do this without the incentives of dividends, ownership or other such returns as those afforded by shareholders of public listed companies.

It is, nevertheless, important for donors to donate responsibly and reasonably. In other words, donors should donate ethically. Lechterman (2017) highlights six (6) key ethical guidelines to what he calls responsible giving and these are: giving from the heart, giving to the neediest, giving mindfully, giving to heal and address injustices, giving to overcome unjust policies, and mixing and matching. The last guiding point (mixing and matching) is a reflection on the preceding five guidelines and observation that there is no single school of thought that offers a perfect guide to responsible giving. According to Swanepoel and De Beer (2015:41), it is also ethically required of charities to coordinate their philanthropic efforts in order to optimize their impact and avoid duplication of tasks. Despite the divergent opinions, Lechterman (2017) points out that scholars who espouse these different schools of thought agree on the one thing that donors should reflect more on their giving decisions. In other words, thinking more about what it means to be a charity will help a donor to give more ethically.

On the other end it has also been proven that most recipients of charities, especially in remote areas of Africa such as Mongu in Western Zambia do not have the necessary skills, knowledge, and training to work with charitable organisations (Mutemwa, 2017:169). As such they are naïve, vulnerable, and prone to socio-cultural deceptions and intellectual abuse in case of unethical requirements of philanthropic strategies employed by unchecked charitable organisations. Kirmayer *et al.* (2000:5) once wrote that, “Around the world, indigenous people have experienced rapid culture change, marginalisation, and absorption into a global economy with little regard for their autonomy”. This sort of vulnerability can cause indignant communities such as Mongu people to be sceptical about participating in some modern transformational development projects that are implemented by charitable organisations. Therefore, it is imperative to consider the ethical implications at stake in the application of philanthropic strategies by charitable organisations such as are operational in Mongu.

An overarching question in the ethical evaluation of charities is whether a charity works and achieves results in an ethically acceptable manner. Gripper and Joy (2016:23) write

that evidence of results indicates to what extent a charity is making a difference and how this improves over time. Results also inform judgment of the value for money. The ethical aspect is, however, not satisfied with evidence of results only because it is not true that the end always justifies the means (Mahrik, 2017:136; Natter, 2014:2; Touré-Tillery and Fishbach, 2011:1). For instance, in Malaysia it has been argued that the information reported by the charities can be insufficient or misrepresentative for effective monitoring and regulation of charities (Hasnan et al., 2012:777). Ethical satisfaction requires that both the means and the end be acceptable (Nordquist, 2018). Said another way, if the premise be true, then the conclusion is also true.

The researcher hereby accepts, for the purpose of this study, that charitable organisations have a critical role to play in the development of society, improvement of communities, and promotion of citizen participation (Candid, 2019). In this study, however, the focus is to evaluate the praxis and impact of ethical aspects of philanthropic strategies employed by charitable organisations in Mongu district in improving the lives of the local people and community as a whole. By default, the researcher will also endeavour to decipher how the challenges and lessons learnt from this particular case are significantly connected to, or isolated from, similar situations globally, especially in Africa.

Philanthropic strategies in this case will entail alleviating the plight of the poor and less privileged local people in an ethically acceptable manner (Mahrik, 2017:136). This is in accordance with the primary concept of philanthropy that is also upheld by religious didactics of human wellbeing, the good life, good society, and transformation of the world (De Wet, 2011:7-8). For instance, Christianity's biblical teaching in Matthew 25:35-40 urges humans to attend to the needs of the vulnerable and less privileged people in society. Commenting on the just mentioned Christian pericope, Adeyemo (2006:1164) ultimately states that Christians are supposed to respond to needs in a holistic manner. Hale (2000:121) also comments concerning the same portion of Scripture that Christians should serve Christ by attending to the needs of others, especially those who are poor and less privileged. "Ethicality" in this case will be seen as a desired means of effecting philanthropic strategies of charitable organisations operating in Mongu district.

In view of the foregoing background and problem statement, an ethical evaluation of philanthropic strategies employed by charitable organisations operating in Mongu district in essence entails a total evaluation of the respective organisations' strategies toward alleviating the plight of the poor populace. Therefore, it requires a holistic approach to all

other relevant contextual issues such as poverty alleviation, lifestyle, religious ethics, justice, and politics.

So far the background and problematic praxis of the research topic has been discussed in order to present the contexts that call for this investigation. Next is the central research question and related sub-questions, which will also lead to the aim and specific objectives of this research.

#### **1.4 CENTRAL RESEARCH QUESTION**

Based on the foregoing discourse of the background and problem statement, the central research question is: How can we evaluate the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district of Western Zambia?

In order to address the central research question satisfactorily, the following sub-questions should be appropriately answered:

- i. What kind of theoretical perspectives could enrich our understanding of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu?
- i. Which perspectives could be descriptive-empirical evidence of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu?
- ii. What kind of critical pragmatic reflection will constitute a model for the ethical evaluation of philanthropic strategies employed by charitable organisations in Mongu?

#### **1.5 AIM OF THE STUDY**

The aim of the study is to evaluate the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district of Western Zambia.

In order to develop a robust and consistent argument so as to effectively achieve the aim of the study, the specific objectives (sub-aims) of the study are hereby provided.

##### **1.5.1 Specific objectives**

The specific objectives of the study are:



- i. To determine, through literature review in the broader spectrum, the theoretical perspectives that could enrich our understanding of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu.
- i. To discover, through an empirical investigation, perspectives that could be descriptive-empirical evidence of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu.
- ii. To develop, through critical pragmatic reflection on the findings of the preceding objectives, a model to guide the ethical evaluation of philanthropic strategies employed by charitable organisations.

## **1.6 HYPOTHESIS**

The researcher hereby hypothesises that an evaluation of ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu will enlighten the local communities and wider society of the ethical aspects at stake in the implementation of the charities' philanthropic strategies, which will in turn enhance ethicality and professionalism of the charitable organisations and optimise benefits to the local community through ethically acceptable means.

### **1.6.1 Significance of the study**

The researcher is under the impression that this study will also contribute to the understanding of charity theory with regard to ethics in philanthropy from the unique context and situation of Mongu town and the charitable organisations operating therein. As it were, research findings are valid within their specific time, space, and value context, but understanding the meaning of a phenomenon in its context also enhances understand phenomena in other similar situations because particular system are nestled within other systems in the web of life (Botes, 1991:22; Burns and Grove, 2009:29; Osmer, 2008:200).

## **1.7 RESEARCH METHODOLOGY**

The methodology (strategy of inquiry) that the researcher will follow is qualitative research. There are basically two strategies of inquiry in research, namely, qualitative and quantitative research, although some researchers have come up with a mixed methods approach (Creswell, 2003; Osmer, 2008:49). Silverman, (2006:9) writes that

qualitative research tends to work well with relatively small numbers or cases and finds detail in the precise particulars of such matters as the people's understandings and interactions. As such, the nature of the problem and general purpose of this study implies that qualitative research methodology will be employed. Quantitative research, on the other hand, cannot address the nature of the problem and guiding purpose of this research because it is not the goal of this research to gather and analyse numeric data in order to explore relationships among variables as embraced by quantitative research (Berg, 2004:2; Osmer, 2008:49). Rather, this study aims at evaluating ethical aspects of philanthropic strategies employed by specific small groups of people, who represent specific organisations in a specific situation and location. Therefore, an in-depth investigation into the philanthropic strategies employed by charitable organisations in Mongu and personal lived experiences of the people involved is hereby required. It is for this reason that qualitative research is preferred because it is better suited to studying a small number of people, groups, or communities in depth (Osmer, 2008:50).

The methods that will be used to collect data are both individual and focus group interviews, as well as field notes of the researcher's observation as befitting qualitative research (Bamberger et al., 2012:301; Osmer, 2008:61). Decisions will be made concerning the person (charitable organisations), program or setting to be investigated (philanthropic strategies), specific methods that will be used (interviewing), and the researcher (Osmer, 2008:53). According to Seale et al. (2010:13), "methods" are research techniques that acquire meaning in the context of broader decisions involving how one defines the research problem, database, methods of data analysis, and the researcher's relationship to the subject of her or his study. In this particular case, the research problem is about the ethical aspects of philanthropic strategies employed by charitable organisations in Mongu and the data source comprises of human subjects (Mongu community and charitable organisations). It is, therefore, imperative that interviews be conducted during the research process in order to understand the lived experiences of the people involved or affected with the topic of the research and the meaning that they ascribe to it. As Warren (1995:66) writes, the best way to find out the culture, mind-set, and lifestyle of a people is to talk to them.

The study will also involve reflexivity, which is literature review in neighbouring social sciences like theology, psychology, sociology, and anthropology in order to establish the metatheoretical assumptions informing the subject under investigation. This is important for two reasons according to Osmer (2008:57-58). First, it helps the researcher to read

the works of other scholars critically, allowing him to spot background assumptions that influence the way he carries out his research and the respective findings. Second, it helps him to become more reflexive about his own research. The just cited author (Osmer, 2008:57-58) writes that research conducted in a community setting requires moving beyond simply getting the information needed to answer the research question. Therefore, the researcher also needs to determine his stance on metatheoretical issues in dialogue with perspectives currently available by engaging reflexivity in the research.

## **1.8 ETHICAL CONSIDERATIONS**

The researcher is of the opinion that this study is of minimal risk because it is designed to enhance ethical operational strategies and professionalism of charitable organisations and optimise benefits to the local community. The study has thus been approved by the faculty of theology of the University of South Bohemia in České Budějovice. Notwithstanding the minimal risk of the study, the researcher notes with caution that the study also borders on the moral integrity of charitable organisations, an aspect that might be considered as threatening to expose the participating organisations, but that is not the aim of the research.

The inclusion of human participants in this research is necessitated and justified by the social value and scientific validity or rigour of the study as enshrined in the Training and Resources in Research Ethics Evaluation (TRREE a, 2014:8)<sup>1</sup> manual. In order to have social value, the just cited source underwrites that a research project should be designed to solve a problem that is relevant to community concerns or has been identified by the community as a problem that needs to be addressed. As earlier mentioned in the background and problem statement, the problem that prompted this study is the fact that the quality of life of the people of Mongu has not improved despite the presence of at least fifty charitable organisations for a reasonably long period of time. Sadly so, at least eighty percent of the people in Mongu still live below the poverty datum line. An inquiry at the Ministry of Community Development and Social Services (2018:1, 7-9) by the researcher revealed that even the government was concerned and yet to establishing the truth about the nature and work of charitable organisations in the communities. It is,

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<sup>1</sup>TRREE has been developed by the Clinical Trials Centre at the University of Hong Kong and is headed by a consortium of interested scholars from Northern and Southern countries (<http://elearning.trree.org/>). It aims to provide basic training, while building capacities, on the ethics of health research involving humans so that research meets highest standards of ethics and promotes the welfare of participants.

therefore, inferred that this research has social value.

This research project is also considered to be scientifically valid because it has potential to result in facts, reproducible observations or generalisable information that relate to the subject under study (TRREE a, 2014:8). The just cited source further states that in qualitative research, instead of scientific validity only, the researcher should strive to achieve scientific rigour as well. As revealed earlier in the background and problem statement of this research, the problematic praxis with ethical aspects of philanthropic strategies employed by charitable organisations applies not only to the district of Mongu, but also to the national and global contexts. Therefore, there is need for scientifically rigorous evaluation of the subject under investigation in order to shape events towards desirable ends.

The researcher is under the impression that this study will also contribute to the understanding of charity theory with regard to ethics in philanthropy from the unique context and situation of Mongu town and the charitable organisations operating therein. As it were, research findings are valid within their specific time, space, and value context, but understanding the meaning of a phenomenon in its context also enhances understand phenomena in other similar situations because particular system are nestled within other systems in the web of life (Botes, 1991:22; Burns and Grove, 2009:29; Osmer, 2008:200).

To minimise the risk of harm to participants and ensure their welfare, the researcher will adhere to specific ethical requirements for qualitative research as set out by the faculty of theology of the University of South Bohemia in České Budějovice. In addition, the researcher has undertaken specific short courses in introduction to research ethics, research ethics evaluation, and informed consent, which are offered online by TRREE (<http://elearning.trree.org>). In short, the researcher will strictly adhere to the ethical guidelines for conducting research that involves human subjects as participants. The following key aspects will thus apply during the research process:

- i. The researcher will explain to the participants the aims and expected outcomes of the research.
- i. Participation will be completely voluntary.
- ii. The fact that as participants they may withdraw from an interview at any time without any consequences on their part will be explained to them.
- iii. A consent form will be signed, whereby participants will indicate that they

understand the interview purpose and process, and that the discussions will be audio or video recorded, and that the contents will be used for research purposes only.

- iv. The participants will remain anonymous.
- v. There are no financial benefits or implications for either the participants or the researcher.
- vi. The qualitative research will be registered with the faculty of theology of the University of South Bohemia in České Budějovice.

### 1.8.1 Risk-benefit analysis

Generally, a research project is considered to be ethically acceptable if the inherent risks are reasonable in relation to the potential benefits to the participants, both directly and indirectly (TRREE b, 2014:25). As such, a risk-benefit analysis is hereby executed to further minimise the risk and ensure that the benefits of the research to the participants clearly outweigh the risks.

**Table 1.1: Risks and precautions**

<p style="text-align: center;"><b>Possible risks</b></p> <p>(E.g., physical, psychological, social, legal, economic, dignitary, and community).</p>	<p style="text-align: center;"><b>Precautions</b></p> <p>(How all the identified risks will be mitigated)</p>
<ul style="list-style-type: none"> <li>• Identity risk in the case where a participant chooses to remain anonymous</li> </ul>	<ul style="list-style-type: none"> <li>• The researcher will guarantee confidentiality and anonymity and will thus transcribe all the research recordings personally on his personal computer. The gathered data will be used for research purposes only and no such data will be made available to anyone or anywhere else without formal consent of the participants. Furthermore, the</li> </ul>

	<p>researcher will formally request the independent coder, if need be for one, to sign a confidentiality agreement such as may be provided by the faculty of theology of the University of South Bohemia in České Budějovice.</p>
<ul style="list-style-type: none"> <li>• Risk of feeling exposed in the sense that the research touches on the moral integrity of participating charitable organisations and the local community.</li> </ul>	<ul style="list-style-type: none"> <li>• The researcher acknowledges this risk and will thus addressed it with the sensitivity that it calls for. As already mentioned, the specific ethical requirements for qualitative research set out by the faculty of theology of the University of South Bohemia in České Budějovice will be strictly adhered to.</li> </ul>

**Table 1.2: Benefits for participants**

<p><b>Direct benefits</b> (For participants)</p>	<p><b>Indirect benefits</b> (For society at large or for the researcher/institution)</p>
<ul style="list-style-type: none"> <li>• Participants representing charitable organisations will have the opportunity to participate directly in the evaluation of the ethical aspects of their own charitable organisations.</li> </ul>	<ul style="list-style-type: none"> <li>• Ethicality and professionalism of charitable organisations operating in Mongu and beyond will eventually be enhanced.</li> </ul>

<ul style="list-style-type: none"> <li>• Participants representing the community will also participate directly in evaluating the ethical aspects of philanthropic strategies by charitable organisations in their area.</li> </ul>	<ul style="list-style-type: none"> <li>• Cooperation and transparency between the charitable organisations and local community will be enhanced while checks and balances will also be provided (e.g. preventing abuse of local resources and preservation of local cultural norms).</li> </ul>
	<ul style="list-style-type: none"> <li>• The community will also gain knowledge and skills of how to work with charitable organisations as the research findings will also be made available to them</li> </ul>
	<ul style="list-style-type: none"> <li>• The whole community will eventually benefit from the philanthropic efforts of charitable organisations operating in their area and the charities will also benefit from the community cooperation with optimal results.</li> </ul>
	<ul style="list-style-type: none"> <li>• The study will contribute to the broader understanding of charity theory with regard to ethics in philanthropy from the unique context and situation of Mongu town and the charitable organisations operating therein.</li> </ul>

According to the foregoing risk-benefit analysis, the risks are reasonably minimal in relation to the benefits to participants and the overall benefits of the research clearly

outweigh the risks. As such, the researcher is of the opinion that this study is ethically safe to undertake.

Participation in the research is completely voluntary and participants are free to withdraw their consent as individuals and discontinue participating in the interviews at any time, without any consequences for them, even if they did not cite any reason for their exit (TRREE c, 2014:6-8). This aspect will also be highlighted in the informed consent form that has to be signed by each participant before the actual interviews. The researcher guarantees confidentiality and anonymity of the participants from the outset (Punch, 1998:175) and this will also be highlighted in the consent form already mentioned. The audio or video recorded responses of participants will be used only for research purposes and transcriptions of the recorded data will be sent to an independent coder for coding and safekeeping. Information obtained from participants will not be made available anywhere without their informed consent (Sheridan and Kisor, 2000:122).

All research data is treated as strictly confidential. No verbal or written references will be made alluding to any personal information of a participant. The researcher will personally handle all collected data. The semi-structured interviews will be recorded on an audio- or video recording device, with permission from each participant. Each recording will be provided with an identification number and only the researcher will know the particulars or personal details regarding each number. The researcher will personally transcribe all the recordings verbatim on his personal computer and hand over the data transcriptions to an independent coder for coding to avoid researcher biasness with regard to data interpretation and the bigger research process. All data will be in safekeeping for this purpose at the faculty of theology of the University of South Bohemia in České Budějovice.

The University of South Bohemia in České Budějovice rules for keeping and destroying of research data after project completion hereby apply. As a general rule, data should be stored for at least seven years after project completion. The researcher hereby claims that all copies of data sent to the faculty of theology of the University of South Bohemia in České Budějovice, both hard and electronic copies that remain with him, will be kept in his strict personal privacy and not made available anywhere without permission of the said university.



## **1.8.2 Gatekeepers**

The researcher notes with caution the role of gatekeepers in research (McFadyen and Rankin, 2016:82-83). According to the cited co-authors, Berg and Lune (2004:24, 218-219), and Gray (2013:73), gatekeepers are individuals (usually adults) who have the power or influence to grant or refuse access to a research field or setting, or persons involved in the process of allowing or denying access to someone or something. In this research, the identified gatekeepers are the local government (district and provincial administration) and the government line ministries such as the Ministry of Community Development and Social Services. McFadyen and Rankin (2016:83) write that gatekeepers can influence a research's progress based on the nature or vulnerability of the research, as well as their assumptions and preconceptions about the implications of the research. As such, the researcher will, in accordance with Singh and Wassenaar (2016:42), ensure conscientious and well-informed negotiations with the identified gatekeepers, both implicit and explicit, in order to honour the ethical obligations to conduct appropriate stakeholder engagement before, during, and even after the research. As such, the researcher will respectively obtain legal authorisation and goodwill permission from the local government and concerned government ministries prior to the empirical research. The concerned government ministries represent and work with both the community and charitable organisations. So, the strategy involves identifying and engaging gatekeepers in the research from the outset in order to secure their cooperation and willingness to facilitate the rest of the research process (McFadyen and Rankin, 2016:83).

## **1.9 BASIC STRUCTURE OF THE DISSERTATION**

The proposed basic structure of the dissertation is as follows:

- a) Chapter one contains the introduction, background, problem statement, aim and objectives of the research, research methodology, and an overview of the research structure.
- b) Chapter two will address the operationalisation of charitable organisations operating in Mongu in order to establish the metatheoretical assumptions informing the study. Accordingly, the ethical evaluation of philanthropic strategies employed by charitable organisations in Mongu will be explored by means of literature

research into various neighbouring social sciences such as theology, psychology, sociology, and anthropology so as to establish a theoretical framework for the ethical evaluation of the topic under study

- c) Chapter three will present the research design and methods as influenced by the nature of the research problem and general purpose of the research in order to guide the planning and implementation of the research in a way that is most likely to achieve the intended goal(s), as well as maximise control over factors that could interfere with the validity of the research findings.
- d) Chapter four will be devoted to the presentation of empirical research findings and ethical evaluation, whereby the ethical aspects of philanthropic strategies of charitable organisations operating in Mongu will be explained and discussed. This will be done by means of qualitative research as earlier identified (Section 1.7).
- e) Chapter five will, through critical pragmatic reflection of the preceding chapters, develop action-guiding models aimed at developing a new praxis and model that will guide the evaluation of ethical aspects of philanthropic strategies of charitable organisations.
- f) Chapter six will contain the summary, an explanation of limitations experienced in the research, and recommendations for further research pertaining to the research topic.

## CHAPTER 2

### OPERATIONALISATION OF CHARITABLE ORGANISATIONS OPERATING IN MONGU DISTRICT

#### 2.1 INTRODUCTION

This chapter will operationalise the charitable organisations operating in Mongu district and related concepts in order to come up with an appropriate ethical evaluation of philanthropic strategies employed by the said charities. In social sciences, the term “*operationalisation*” means the process through which abstract concepts are translated into measurable variables (Harvey, 2020). Accordingly, the process involves breaking down the abstract concepts into manageable components, making rational decisions, and legitimating such decisions as in respect of theoretical considerations. The concepts to be dealt with in this chapter include charity, charitable organisations, types of charitable organisation operating in Mongu, charity law, and theoretical framework for the ethical evaluation of philanthropic strategies employed by charitable organisations operating in Mongu district of Western Zambia.

#### 2.2 ETYMOLOGY OF “CHARITY”

In order to establish a proper basis for the ethical evaluation of philanthropic strategies employed by charitable organisations operating in Mongu, it is necessary also to investigate the origin of the concept of charity and how its meaning has possibly evolved throughout history. Garcia-Irons (2018:1-7) writes that in the mid-1800s, establishments called charitable organisations were set up and they comprised church personnel and volunteers who were designated to render help to the poor, homeless, and severely ill people in society. According to the just cited author, the principles underlying these early social work practices were founded on the biblical idea of charity.

The word “*charity*” has its roots in the Bible and it underpins the praxis of “*diakonia*” in Protestant theology, while in Catholic theology it embraces the “*caritas theory*” (Opatrný, 2020:301; Šimr, 2017). Accordingly, the contemporary central message of both *diakonia* and *caritas theory* is a reflection on the church’s charitable praxis, which is synonymous to social welfare services by the church.

Suffice it to mention that those who first spoke of *diakonia* were not the linguists or

theologians of nowadays. According to Collins (1990:8) and Latvus (2017:83), the term was formally introduced by Lutheran churchmen of the nineteenth century Germany, who sought to establish a form of Christian ministry among the displaced, delinquent, sick, poor, illiterate, and all those affected by the aftermath of the Napoleonic wars and onset of industrialisation. Up till the first decades of the nineteenth century the term was still absent from the church circles and broader society. It was during a conference organised by King Friedrich Wilhelm IV of Prussia in Monbijou castle on the relations of church and state held in 1856 (2<sup>nd</sup> November to 5<sup>th</sup> December) that the term diakonia was officially adopted as a fixed concept for referring to ideas, theology, and practical work among the poor. The conference was intended to solve the question regarding the diaconate (office of the deacon) of the church, but ironically and practically ended up introducing the caritative concept of diakonia (Latvus, 2017:84).

The original Greek for “diakonia” (*διακονία*) applies to a number of meanings from ministry, service, ... helps and services of various kinds, which can range in meaning from “spiritual” biblical teaching (Acts 6:4) to the “practical” giving of provisions, supplies, support, and finances to those in need as in 2 Corinthians 9:12 (Goodrick and Kohlenberger III (1999:1326). ‘Diakonos’ (*διάκονος*), a derivative of diakonia, according to the just cited source means “servant, minister, a person who renders service and helps to others, in some contexts with an implication of lower status...” The co-authors further write that the Greek word is also transliterated as “deacon”, meaning a trusted officer of helps and services in the local church. Hence Beyer (1964:81), in his legendary influential article in Kittel’s *“Theological Dictionary of the New Testament”* argues that diakonia in the New Testament means both “waiting at table” or in a rather wider sense “provision for bodily sustenance” and also any other “discharge of service” in genuine love, which is also transliterated as charity.

“Charity” is the King James Version (KJV) Bible translation of the Greek word “*agapē*” (*ἀγάπη*) (Douglas and Tenney, 1987:200), which according to Goodrick and Kohlenberger III (1999:1524) usually refers to God’s active love for his Son and people as well as the love that God’s people are to have for him, each other, and even their enemies. Douglas and Tenney (1987:200) also write that charity represents the Latin word “*caritas*”, which in the Vulgate (the principal Latin version of the Bible) is found in the passages where the KJV has the word “love”. The co-authors further comment that charity in the Bible never means necessarily giving to the poor, but always refers to a God-given love that includes

respect and concern for the one loved, a concept that seems to be overwhelmingly implied in 1 Corinthians 13 as highlighted in verse three.

*“And though I bestow all my goods to feed the poor, and though I give my body to be burned, and have not charity, it profiteth me nothing”* (1 Corinthians 13:3 – KJV).

Seen from the perspective of “... respect and concern for the one loved...” that Douglas and Tenney (1986:200) refer to, however, it rather appears that charity bestows certain ethical obligations on philanthropy than negate it. This observation is supported by the wider context of Scripture, which teaches that acts of philanthropy, especially such as done to the poor, are a vital Christian virtues. For example, Matthew 25:35-40 reads as follows:

*“for I was hungry and you gave me food, I was thirsty and you gave me drink, I was a stranger and you welcomed me I was naked and you clothed me, I was sick and you visited me, I was in prison and you came to me.’ Then the righteous will then answer him, ‘Lord, when did we see thee hungry and feed thee, or thirsty and give thee drink? And when did we see thee a stranger and welcomed thee, or naked and clothe thee? And when did we see thee sick or in prison and visit thee? And the King will answer them, ‘Truly, I say to you, as you did it to one of the least of these my brethren, you did it to me’.”* (Revised Standard Version).

According to the “Greek-English lexicon of the New Testament based on semantic domains” by Louw and Nida (1988:7), the original Greek for the phrase, “the least” as found in verse 40 is “*τῶν ἐλαχίστων*” (*tón elachíston*) and means, “pertaining to the lowest status, lowest, least important, last”. Commenting on the same phrase, Manser (2010:1537) writes that just as Christ makes the most of the disciple’s corporal works of mercy, even so he makes the best of the weaknesses of the poor and needy, even those considered to be least important. The just quoted source further states that “what is rewarded here is the relieving of the poor for Christ’s sake” and the good acts of kindness done in the name of the Lord will, therefore, be acceptable. Said another way, social welfare services done out of love in the name of the Lord are hereby encouraged and will be rewarded.

As such, Paul’s words in 1 Corinthians 13:3 with regard to charity should not be misconstrued to negate acts of philanthropy such as social welfare to alleviate the plight of the poor. For instance, in the same context (1 Corinthians 13:1-2) he speaks of the gifts of tongues, prophecy, and faith as amounting to “nothing” without charity, certainly

not to render these grace gifts nothingness, but to rather emphasise that they need to be qualified by charity. In like manner, giving in this case should emanate from a charitable attitude of respect and concern for the recipient if it has to be ethically acceptable. The words of Pope Benedict XVI (2006:31) best lay this argument on the line when he states, "... human beings always need something more than technically proper care. They need humanity. They need heartfelt concern." This is akin to one of the core principles of traditional African culture commonly known as "Ubuntu" (humanness), which is well expressed through a South African Xhosa tribe saying, "Umntu ungumntu ngabanye abantu – a person is a person through other persons" (De Wet, 2011:28). From this point of view, it can be inferred that charity bestows critical ethical aspects on philanthropic strategies such as respect, humaneness, and heartfelt concern for the recipients of charitable acts.

From the foregoing discourse, it can be deduced that the concepts of charity and charitable purpose evolve from a theological background and, according to Šimr (2017:154), can also be discovered within the pastoral (or practical) theological theories. Noller (2019:49), also writes that current practical theological theories argue that diaconal enterprises and diaconal engagement can be seen as a special dimension of the church in which the gospel of God's redeeming grace is communicated as charity. According to the just cited author, sociological theories such as systems theories have also inspired practical theologians to think about church and diakonia in innovative ways. Clear linkages are thus perceived among charity, social work, and practical theology. As such, any meaningful ethical evaluation of philanthropic strategies implemented by charitable organisations should consider perspectives from these other disciplines as well.

Before going on to formulate the theoretical framework for the ethical evaluating of philanthropic strategies employed by charitable organisations operating in Mongu, it is necessary to define charitable organisations and also identify the types of charitable organisations that are operational in Mongu district.

### **2.3 DEFINING CHARITABLE ORGANISATIONS AND IDENTIFYING TYPES OF CHARITABLE ORGANISATIONS OPERATING IN MONGU**

Global experiences of defining charitable organisations can be a problematic process, but the global experiences can, however, be of help towards a local definition of charitable organisations (The Australian Government the Treasury, 2011:3). The just cited source

writes that the meaning of charitable organisations and charitable purposes is not defined in statutes, but at common law<sup>2</sup>. The common law definition of charity and charitable purposes is mainly based on the Preamble to the Statute of Charitable Uses enacted by the English Parliament in 1601 (also known as the Statute of Elizabeth) and *Commissioners for Special Purposes of Income Tax v Pemsel* (1891:5) ALL ER Rep 28 (Pemsel's case), which classified charitable organisations into four categories in connection with the following headings:

- i. Relief of poverty,
- i. Advancement of education,
- ii. Advancement of religion, and
- iii. Other purposes beneficial to the community not falling under any of the preceding categories.

As per Pemsel's case, any common law definition of charity requires that a charity has a charitable purpose and be for the benefit of the public (Martin, 2011:20). Several other scholars agree with the foregoing categorical definition of charitable organisations (Bourgeois, 2002:9; Harding et al., 2011:6; Hoque and Parker, 2015:288; Swarbrick, 2020; etc.). The Zambian government's definition of a charity, which is synonymous to an NGO, as cited in chapter one, to a greater extent also adheres to the Pemsel case criterion of charity and charitable purpose.

Suffice it to highlight also that there have been, nevertheless, several attempts for alternative definitions of charity. According to Harding *et al.* (2011:19-20), the most successful attempt in recent years has been to divide the term charity into two forms, namely, separation of charitable status in trust law from charitable status in taxation law (division by policy function); and the creation of a hierarchy of charities. This approach seems to stem from Gravells' (1977:397) view of the validation of the purpose of public trusts and supported by other renowned commentators such as Bright (1989:36-37), Malik (2008), and Dal Pont (2002). Notwithstanding the grounds for this argument, the mainstream view, however, seems to be that it would not be manifestly convenient to have a division of charity law for various reasons such as duplicity, complexity, and

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<sup>2</sup>Common law is the part of English law that is derived from custom and judicial precedent rather than statutes (<https://www.investopedia.com/terms/c/common-law.asp>)

incongruence from the very nature of the categories themselves (Harding *et al.*, 2011:20). For instance, the just cited author further writes that the taxation law is already implicit in the trust law as the content of charity also helps to determine the level of public benefit that justifies tax expenditure. From this perspective, all charities ought to be treated alike.

The second and less influential approach has been to divide charities into a hierarchy, with the top priority given to charities that help the disadvantaged. Although this argument has hitherto not garnered much influence, it has also been supported by renowned figures such as Gousmett (2009) and the Duke of Edinburg (cited by Harding *et al.*, 2011:20), who propose that highest tax relief should be given to humanitarian causes, while less relief should be offered to both community and environmental benefit.

In view of the foregoing global attempts to define charities and Zambia's adopted definition of the same, the ethical evaluation of charitable organisations operating in Mongu district will mainly be based on the definitive criterion used in Pemsel's case of 1891. Gousmett (2009:23) also writes that the four principal divisions of charitable purpose in Pemsel's case of 1891 have been the key criteria against which charitable activity is measured.

### **2.3.1 Types of charitable organisations**

To rightly categorise charitable organisations, one needs to look at the different functions that they perform and the sectors they support. For the purpose of this study, charitable organisations will be classified into seven categories based on their inclusion in the common law definition and in accordance with Ascotday Centre (2020), Top Nonprofits (2019), and Vodo (2016). Most of these categories can be broken down further as may be necessary to find more specific charity types. The seven categories identified for this research are hereafter explained and in no particular order.

#### **2.3.1.1 Education charities**

As enshrined in the Statute of Elizabeth 1601, one of the key roles of charities is the advancement of education. Education charities help students whose financial background cannot sustain them in school or those who, by virtue of their outstanding performances or aptitude, deserve scholarship in one way or another (Nonprofits, 2019). The just cited source writes that some charities donate funds to different schools while others prefer to set up their own schools where they educate and support all the students



they identify as deserving such help. The assistance can be in form of scholarships, provision of learning materials and financial aid, and such support as may be deemed appropriate can be given to students or through their parents, guardians, or respective school administrative office.

There are few of such charities in Mongu as Keeping Girls in School and UNICEF.

### **2.3.1.2 Faith based organisations (FBOs)**

FBOs, particularly Christian organisations are increasingly becoming important in the provision of social services and welfare of many states and communities through the voluntary sector (Vodo, 2016:2). According to the just cited author, they meet a wide range of community needs and fill in the gap between the demand for and supply of welfare provisions. In addition, they continue to exert political and social impact. Most of the charitable organisations in Zambia and Mongu in particular can also be classified as FBOs (e.g., World Vision International, Catholic Relief Services – CRS, Young Women’s Christian Association – YWCA, Extended Church Response – ECR, New Apostolic Church Relief Organisation – NACRO, etc.).

### **2.3.1.3 Health charities**

Health charity groups aim to assist sick people and those with physical disabilities to have access to quality health care and services as included in The Charities Act of 2006 for England and Wales, which is essentially an expansion of the four heads of charities revealed in Pemsel’s case of 1891 (Proirier, 2013:87). According to Ascotday (2020), the assistance can take many forms including providing funds for medical research, promotion of health awareness, and paying accumulated hospital bills for those who have difficulties in raising the required funds.

As at the writing of this thesis, there are no known active health charities in Mongu.

### **2.3.1.4 Art and culture charities**

The central focus of this type of charities is the protection and preservation of cultural heritage and art. According to the Ascotday Centre (2020), such charities as these may also be further classified into Museum and Art Galleries and Historical Societies for the preservation of such art and cultural heritage.

As at the writing of this dissertation, the government of Zambia, while working together with the Barotse Royal Establishment has handed in a proposal with UNESCO to make the Barotse Flood Plain in Mongu a World Heritage Site (Ministry of Tourism and Arts, 2021). Whether UNESCO and its cooperating partners have or will have charitable uses and purposes for the prospective world heritage site is an ethical question.

#### **2.3.1.5 Environment charities**

These charities focus on environmental preservation, sustenance, and development (Proirier, 2013:87). They are the type of charities that champion the use of greener and renewable energy sources, environmental conservation and protections of the ecosystem.

#### **2.3.1.6 Wildlife conservation charities**

These charities raise funds for use in wildlife conservation and the protection of pets and other animals' wellbeing (Proirier, 2013:87). As such, any person who is willing to contribute to animal welfare can do so through animal charities established for this purpose.

A non-profit making conservation organisation known as African Parks has co-managed managed one of the oldest wildlife conservation histories in Africa that dates back to the 29th Century, the Liuwa Palin National Park near Mongu in partnership with the Department of National Parks and Wildlife (DNPW) and the native Bartotse Royal Establishment since 2003 (African Parks, 2022). Again, whether this is absolute altruism by the African Parks or not, is an ethical question.

#### **2.3.1.7 International NGOs**

International NGOs are big charities with headquarters in one country (usually in a developed country), but with branches in various other countries around the world. These types of charitable organisations are also found in Mongu district. The same ethical question of charitable uses and purposes and alluded to the previous sections resonates herein as it also influences this whole study.

Suffice it to mention that new charities emerge from time to time and some of them can fall into or out of some of the foregoing categories based on their agenda. The point is

that classification of charities is dynamic and ever-changing with time and space (Ascotday Center, 2020).

### **2.3.2 Charitable organisations operating in Mongu**

Regarding the topic of this study, the researcher will focus particularly on an ethical evaluation of philanthropic strategies of international NGOs and FBOs because they are the sorts of charitable organisations operating in Mongu district. Among others, the respective NGOs to be evaluated are: Action Aid International, Caritas Czech, Leonard Cheshire International, People in Need (PIN), USAID, and World Vision International.

In order to conduct an appropriate and effective ethical evaluation of philanthropic strategies of these charitable organisations, it is imperative to precede with a corresponding understanding of the historical development of charity law.

## **2.4 HISTORICAL DEVELOPMENT OF CHARITY LAW**

The meanings of charitable organisation and charitable purpose have so far been attributed to common law, but common law itself, as applied in England and other countries that have adopted it cannot be understood without knowledge of its historical development. As Proirier, (2013:78) writes, common law is the accumulation over time of decisions made by judges and these decisions are usually linked to facts that have gained their meaning from the social and economic situations of the time when they were decided. The current definition of charity and charitable purpose is based on over four hundred years of common law according to The Australian Government the Treasury (2011:1) and other reliable sources. As such, it is important to understand the historical background from which this law has evolved in order to understand and apply it appropriately.

During the sixteenth century, the English society saw that the role of the church in charitable work was declining and it was increasingly recognized during the reign of Queen Elizabeth I that poverty was a national problem Martin (2011:20). Happening about the same time were also series of catastrophic events that exacerbated the situation and these included multiple disastrous harvests, the Spanish war, high inflation, domestic and international economic depressions, and the Black Death or bubonic plague which killed about fourteen per cent of the population of London (Bromley, 2002;

Brundage, 2002; Glatter & Finkelman, 2021:176-177; McGregor-Lowndes, 2004:4-5). As one would fearfully anticipate, these events led to widespread poverty, unemployment and vagrancy. According to Bromley (2002:198-200), the English state under Elizabeth intervened and established workhouses to discipline and make productive the poor who could work and required of local parishes to provide for their own poor.

Due to its own lack of funds to alleviate the afore-described desperate situation of its citizens, Chesterman (1979:19) and Martin (2011:21) write that the English state then turned to the encouragement of private philanthropy to assist, and this was done through three major avenues. First, the Court of Chancery was reinforced as the dominant legal mechanism for enforcing charitable purposes. Second, the privileges that the law provided to charitable institutions, including fixing many technical defects and ensuring that they did not fail due to uncertainty, were confirmed and enhanced. Third, the Statute of Charitable Uses 1601, commonly referred to as the *Statute of Elizabeth*, was enacted. The aim of this statute was to appoint the bishop of a diocese and the local gentry as commissioners to supervise the administration of most charities and to prevent any misuse of charitable property. According to Martin 2011:21) the commissioners were empowered to provide checks and balances such as inquiring into abuses and breaches of trusts, negligence, misemployments, defrauding, or misgovernment of any property given for such charitable and godly uses as listed in the statute's preamble.

According to William Kitchener Jordan (cited by Martin, 2011:22) and The Institute of Chartered Accountants of India (2014:10), the Statute of Charitable Uses 1601 did not actually create a new concept of charitable purposes, but rather codified a body of law that is just really a classical statement. The later of the two just cited sources further states that the statute has since been interpreted and expanded in a considerable body of case law within and outside England, Zambia inclusive. Swarbrick (2020) provides a long list of case laws that have cited the Statute of Charitable Uses 1601 right up to the current year of the writing of this thesis (2020). The Charities Act of 2006 for England and Wales expanded the four heads of charitable purposes to thirteen categories as follows (Proirier, 2013:87):

- i. The prevention or relief of poverty
- ii. The advancement of education
- iii. The advancement of religion

- iv. The advancement of health or the saving of lives
- v. The advancement of citizenship or community development
- vi. The advancement of the arts, culture, heritage or science
- vii. The advancement of amateur sport
- viii. The advancement of human rights, conflict resolution or reconciliation or the promotion of religious or racial harmony or equality and diversity
- ix. The advancement of environmental protection or improvement
- x. The relief of those in need by reason of youth, age, ill-health, disability, financial hardship or other disability
- xi. The advancement of animal welfare
- xii. The promotion of the efficiency of the armed forces of the Crown, or the efficiency of the police, fire and rescue services or ambulance services
- xiii. Any other purpose recognised as charitable under existing charity law, analogous to, or within the spirit of, any purposes listed above or analogous to, or within the spirit of, any purposes recognised under charity law as falling within the above paragraphs

With regard to the foregoing discussion, Proirier (2013:85) writes that the development of the welfare state is probably the most influential social factor on philanthropy and legislation pertaining to charity law in modern time.

It is the evolution of charity law around the Statute of Charitable Uses 1601 that is important for the framework of this research too. According to Fishman (2008), the statute unintentionally created a definition of charity and charitable purpose that resonates in the law to date. The most important feature of this piece of legislation is that it set out a preamble that comprehensively listed for the first time a range of charitable purposes, which has also been confirmed in subsequent case law as the foundation of the modern legal definition of charity and charitable purpose as (Proirier, 2013:85). As such, the ethical evaluation of philanthropic strategies implemented by charitable organisations operating in Mongu district will also be guided by the framework established within the evolution of charity law around the Statute of Charitable Uses 1601.

## **2.5 THEORETICAL FRAMEWORK FOR THE ETHICAL EVALUATION OF PHILANTHROPIC STRATEGIES BY CHARITABLE ORGANISATIONS**

In view of the discourses of the preceding sections, the theoretical framework for the ethical evaluation of philanthropic strategies by charitable organisations operating in Mongu will be based on an interdisciplinary perspective of theological and sociological discourses comprising pastoral theology, social work, and common law. For the sake of better understanding, an explication of these disciplines and concepts and how they interlink within the discourse of charity and charitable purposes is hereafter provided.

### **2.5.1 Ethical perspectives from pastoral theology**

So far it has been established that the concepts of “charity” and “charitable purpose” evolve from a theological background and can be located within the pastoral theological theory, which is akin to applied theology in Catholic theology and practical theology in Protestant theology. As Browning (1991:36) rightly argues, however, the dialogue of pastoral theology is not restricted to the Christian community and sources but involves critical reflection on the church’s dialogue with Christian sources and other communities of experience and interpretation in order to guide its action toward holistic transformation. Among others, theology engages constructively with relevant disciplines of neighbouring social sciences such as sociology, anthropology, and psychology as can be deduced from Opatrný (2020:306-307). In this particular case, it can be inferred that that the framework for the subject under study comprises pastoral theology, social work, and common law.

One of the most important focal concepts of pastoral theology is an augmented holistic evolution of the quality of life of the local people through responsible interaction with the created order to the glory of God (Bosch, 1991:385, Louw, 2014:25; Osmer, 2010: 5-6; Samuel and Sugden, 1999:38). According to the just cited authors and Kuhn (2005:106-107), the reason for the importance of this concept is the fact that holistic transformation of the individual and community is the ultimate goal of Christian education and development.

Within pastoral theology, the concepts of diakonia and caritas theory underpin philanthropic strategies by charitable organisations such as operate in Mongu from a multi-disciplinary perspective. For instance, in the article on “*Caritas theory as theological discourse within education in social work*”, Opatrný (2020:302) argues that caritas theory was originally not a purely theological reflection on the praxis of charity, but a multi-disciplinary reflection on charitable work. He bases his argument on the works of other

renowned scholars in the field such as Enegelke (2004), who clearly states that *caritas* theory was founded for the scholarly support of charity and as a mediator between theology and social work. Similarly, the Protestant view of this concept presented as *diakonia* is also an academic discipline in the form of an interdisciplinary theoretical reflection on diaconal praxis within the areas of healthcare, social work, and education, whether at the level of a local congregation or professional social institution (Nordstokke, 2020:171). To buttress his point, the just cited author makes reference to one of the most important international documents on *diakonia* completed by the Lutheran World Federation on (2009:8). Accordingly, the cited document states that *diakonia* is a theological concept that points to the very identity and mission of the church and a call to action as a response to challenges of human suffering, injustice and care for creation.

Drawing on the works of Browning (1991) and Reccoer (1992), some of the most eminent American practical theologians so far, Osmer (2008:147-153) highlights important ethical aspects in pastoral theology, which hereby also contribute to the theoretical framework for the topic under investigation as hereafter outlined.

#### **2.5.1.1 Ethical reflection with universal ethical principles**

This is particularly important because it allows moral communities to test their present practices against universally accepted ethical principles. For instance, Osmer (2008:149-150) poses important questions in this regard as follows:

- i. Do these moral communities regard the moral worth of other as equal to their own?
- i. When the interests of their community conflict with the interests of others, are they committed to procedures that are fair and open to all parties?
- ii. Can they enter sympathetically into the perspectives of groups that are different from themselves?

As the last cited author observes, human beings are likely to put the interests of their families and immediate communities above those of all other people, especially in situation of moral conflict and dire need. Therefore, ethical tests such as these are important also for the ethical evaluation of philanthropic strategies implied by charitable organisation such as operate in Mongu. Browning (1991:39) also adds that the application of ethical norms does not only occur at the end of a process, but is present from the beginning and influences it throughout.

### **2.5.1.2 Equal regard**

There is an ethic of equal regard grounded in the narratives of creation and the ministry of Christ that points to the inherent dignity and worth of all human beings (Osmer, 2008:151). According to Osmer, Christian love (charity) too, should be understood and expressed in an ethic of equal regard. In the creation narratives, human beings are portrayed as being created in the image of God and are, therefore, worthy of respect in personal relationships and fair treatment in social institutions. In the narratives of Christ's ministry, he is portrayed as telling his disciples more than eight times that they ought to love their neighbours as themselves and follow the golden rule – do to others what you would like them to do to you. Osmer (2008:152) concludes his section on ethical interpretation by stating that general principles like equal regard and love, as well as other concrete guidelines and rules, can help us to understand and address the moral issues at stake in episodes, situations, and contexts. This framework also forms general norms and principles that may be applied to the subject hereby under investigation as well as the criteria for selection or goals that can be attained by an acceptable alternative (Anon, 2009).

### **2.5.1.3 Good practice**

A third approach to ethics in theology is good practice, which provides ethical guidance in two ways according to Osmer (2008:152-153). First, it offers models of good practice, either from the past or present, which can be employed to reform present praxis. Second, good practice can generate new understandings of God, the Christian life, and social values beyond those provided by the received traditions. According to the last cited author, observing good practice in other organisations is a powerful source of ethical guidance.

Alongside the role of good practice is present practice, which is the generative source of new understandings of God, the Christian life, and social values. As such good practice is more than just a model; it is epistemic. Therefore, good practice finds relevance for the ethical evaluation of philanthropic strategies employed by charitable organisations such as operate in Mongu district of Western Zambia.

### **2.5.1.4 Practical moral reasoning (phronesis)**

Practical moral reasoning is necessary for the application of moral principles and commitment to particular situations (Osmer, 2008:149). The concept stems from the



Greek word “φρόνησις” (phronesis), which literally means “wisdom, understanding” according to Goodrick and Kohlenberger III (1999:1601). In the context of practical theological ethics, phronesis implies practical wisdom derived from learning and evidence of practical things (The Oxford Review Encyclopedia of Terms, 2021). According to the just cited source, phronesis leads to breakthrough in thinking and creativity and enables an individual to discern and make judgments about what is the right thing to do in a particular situation and how to do it.

This may be seen to be similar to, but it is definitely not the same, as ethical reflection. Whereas ethical reflection involves reflection with universal ethical principles, in phronesis “...the meaning of any universal, or any norm, is only justified and determined in and through its concretisation” (Shapcott, 2013:1). Accordingly, practical moral reasoning in this sense is knowledge of what to do or how to act in a particular situation and involves understanding what is at stake in that situation. As such, it is not merely the virtue of making the right technical decision to get the right end in a given circumstance; it is about reflecting on both the means and end at stake in any decision and action. To lay it on the line, it is first and foremost a mode of ethical reasoning, which is akin to making ethical decisions.

With regard to the topic hereby under investigation, practical moral reasoning is particularly important in evaluating the means and application of moral principles in philanthropy because it is not true that the end always justifies the means.

#### **2.5.1.5 Summary of ethical perspectives from pastoral theology**

The concepts of “charity” and “charitable purpose” evolve from a theological background and can be located within the pastoral theological theory, which embraces applied theology in Catholic theology and practical theology in the Protestant theological discourse. The dialogue of pastoral theology is, however, not restricted to the Christian community and sources, but involves critical reflection on the church’s dialogue with Christian sources and other communities of experience and interpretation so as to guide the church’s action toward holistic transformation. As such, it has been deductively inferred that the framework for the subject under study comprises pastoral theology, social work, and common law. Accordingly, the ethical perspectives from pastoral theology with regard to the topic under study comprise ethical reflection with universal ethical principles, equal regard, good practice, and practical moral reasoning.

Next are ethical perspectives from the field of social work.

## 2.5.2 Ethical perspectives from social work

Social work is a practice-based profession and an academic discipline that promotes social change and development, social cohesion, and the empowerment and liberation of people (International Federation of Social Workers – IFSW, 2014). According to the just cited source, principles of social justice, human rights, collective responsibility and respect for diversities underpin social work. Apparently, the discourse of social work is also enriched significantly by theological ethics through the latter's emphatic criticism of the limited focus of professional ethics of social work, which focus mainly on deontological and utilitarian ethics according to Opatrný (2020:306-307) and Šrajcar (2012). This is to imply that the ethical perspectives outlined and discussed in the previous section also apply to the discourse of social work.

It is also important to mention that the issue of ethics in social work is not easy to reconcile globally because the conceptions of social work and social policy differ from one state to another, which is customary in the discourse of social work according to Opatrný (2020:303). In social work, ethics reflect the profession's guiding philosophy of advancing human welfare and its commitment to ensure that social workers everywhere are strongly united with common belief systems. Therefore, despite the varying nature of social ethics geographically, culturally, and politically, it is generally accepted that ethics in social work can be summed up into six fundamentals foci, which Ajibo (2017:32-33) succinctly outlines as follows:

- i. **Social justice:** represents fairness in the distribution of resources and opportunities to all. It manifests through challenging negative discrimination, recognising diversity, distributing resources equitably, and challenging unjust policies and practices.
- ii. **Service:** at all times, the social worker must be ready to serve every person with his or her knowledge and skills, except where restrained by professional ethics.
- iii. **Dignity and worth of the human person:** everyone is entitled to his or her full respect regardless of appearance, religion, gender, social status, race, tribe, etc.
- iv. **Integrity:** social workers hold honesty and truthfulness as strong virtues.
- v. **Importance of human relationships:** everyone is important as much as human relationships in themselves are very strong resources in problem solving.
- vi. **Competence:** social workers should know the limits of their expertise and are

bound to refer cases appropriately in such context as might require services of other experts in the field.

Suffice it to mention that the foregoing outlined ethical considerations are also directly applicable to the topic of this study. For instance, by default the discourse of philanthropic works also requires social justice as well as respect for the dignity and worth of the human person.

### **2.5.2.1 Spirituality in social work and social work ethics**

Numerous studies so far indicate that there is a historical connection between spirituality and social work (Canda & Furman, 1999; Erikson, 1968; Fowler, 1981; Garcia-Irons, 2018; Lezotte, 2010; Loue, 2017). It is, however, of prior necessity to critically distinguish between spirituality in the theological sense and spirituality in the sense of social sciences in order to have a better understanding of this sub-topic and how it fits into the wider context of this research. Despite the difficult to distinguish between the two, what is clear first of all is that spirituality is closely connected with theology, but not exclusively contained by it (King, 2009; Van Niekerk, 2018:10).

In traditional Western theology, spirituality has been subjected to the dominance and interiorisation of the contents of dogmatics and morality (De Villiers, 2007:104; Van den Hoogen, 2014:2). For instance, in Protestant theological tradition spirituality is usually referred to as devotion or piety, while Roman Catholicism thinks of spirituality as one's distinctive way of following Christ, communing with God, and growing in the life of faith (Lezotte, 2010:2). The just cited author also writes that in modern Orthodox tradition, spirituality has come to refer to a person's life and activity in relationship to God, and to oneself, other people, and all things in reference to God. In a possible summative form, Hardt *et al.*, (2012) are of the view that spirituality has four main components or dimensions, namely belief in God, engaging in a search for meaning, mindfulness, and a feeling of security.

Traditional Western theology is, nevertheless, criticised for having lost its dynamic transformative nature and for indulging in debates about irrelevant dogmatic or exegetical intricacies (Solomon, 2002:46). De Villiers (2007:99-100) also observes that such a proposition seems to be rigid and in conflict with the critical mind as influenced by the Socratic principle of discovering truth through analytical and dialectical dialogue.

Since the late twentieth century, however, there has been a notable change within theology in a movement best described as contextual theologies (De Villiers, 2007:105). According to the just cited author and others such as Van den Hoogen (2014:2), and Villegas (2018:2-8), a theological definition of spirituality should involve purposeful approaches to the living of a life guided by beliefs deemed to address questions of meaning and to make possible greater wholeness and transcendence. As Tacey (2004:66) writes, from a theological perspective spirituality is about personal empowerment, but it is not private because out this empowerment will flow political and social transformation. This seems to be a more promising avenue towards addressing the critique on the rigidity and controversially limited focus of traditional Western theology.

In the perspective of social sciences, however, spirituality still encompasses a much broader spectrum of humanity in relation to both the tangible and intangible worlds (Van Niekerk, 2018:9). For instance, from the perspective of psychology of religion, Vilani *et al.* (2019:6) write that spirituality is the human desire for transcendence, introspection, interconnectedness, and the quest for meaning in life, and this appears to be same for all humans regardless of their religious statuses. According to the American Sociological Association (2021), spirituality in sociology of religion can be defined as individual and group efforts to find meaning for existence within or outside of organised religion. Hence Turkey (2006:11) sees spirituality in this regard as a diverse concept existing among all of humanity. The just cited author argues that there is not one uniform concept or experience of spirituality because humans have different cultural and religious backgrounds, different socio-economic and political situations, and varied psychological conditionings, all of which contribute to the plurality and diversity of spiritualities.

The role played by spirituality in social work cannot be over-emphasised, as every person wants to believe in something intrinsic or extrinsic (Ebimgbo *et al.*, 2019:93). To that end human spirituality in one way or another also manifests even in other fields outside social work. For example, Speth (2016), a United States of America advisor on climate change once said, "I used to think that top environmental problems were biodiversity loss, ecosystem collapse and climate change. I thought that thirty years of good science could address these problems. I was wrong. The top environmental problems are selfishness, greed and apathy, and to deal with these we need a cultural and spiritual transformation. And we scientists don't know how to do that." Ebimgbo *et al.* (2019:93) further write that even atheists and agnostics have some form of belief that they hold on to. As such, it is not uncommon in social work practice also for clients to express or refer to their spirituality.

As a matter of fact, the spiritual makeup of any person (client) is as important as her or his biological, psychological and social makeup (Manfred- Gilham, 2009; Loue, 2017). Therefore, it would not be comprehensive to talk about social work ethics without taking into consideration the role of spirituality in social work.

In an article on “The place of spirituality in social work: practitioners’ personal views and beliefs”, Garcia-Irons (2018:1-7) clearly states and convincingly demonstrates that the origins of social work are founded in the practices of spirituality and religion. The just cited author further writes that in the mid-1800s, establishments called charitable organisations were made up of church personnel and volunteers who were designated to help the poor, homeless, and severely ill people in society. Accordingly, the principles underlying these early social work practices were founded on the biblical idea of charity, which is very similar to the historical development of common law as discussed in the previous section. Therefore, the perspective of spirituality in social work has definite implications for the ethical evaluation of philanthropic strategies implemented by charitable organisations.

Due to the secularisation of social work, especially in the 1960s and 1970s, spirituality and religion kind of separated themselves from the field, so that they eventually have become a topic that is little talked about in social work (Poppo and Leighninger, 1990). Recent research, however, shows there is a renewed call for the integration of spirituality into social work practice and education (Ebimngbo *et al.*, 2019; Garcia-Irons, 2018:1). As at the time of writing this chapter of this thesis, the just ended European Symposium on Spirituality, Ethics and Social Work (2021) identified spirituality both as an approach to and a phenomenon within social work practice and education.

It is, however, still difficult to immediately standardise the definition of spirituality in social work because of its complexity and recent focal inclusion into social work practice and education, which is also a modern secular profession (Gray, 2008:176-180; Holden, 2002:37). In spite of this fact and for the sake of better understanding, it is still possible and prudent to refer to some of the significant and more comprehensive definitions so far.

Among others, Carson (cited by Lezotte, 2010:2) writes, “To be spiritual is to stand in a relationship to another based on matters of the soul. Spirituality is the way we make meaning out of our lives. It is the recognition of the presence of Spirit within us and a cultivation of a style of life consistent with that presence. Spirituality provides a perspective to foster purpose, meaning and direction to live. It may find expression

through religion". Canda and Furman (2010:5) define spirituality as "a universal quality of human beings and their cultures related to the quest for meaning, purpose, morality, transcendence, well-being, and profound relationships with ourselves, others, leading to an ultimate reality". Koenig and Larson (2001: 1) add that spirituality "is the personal quest for understanding answers to ultimate questions about life, about meaning, and about relationship to the sacred or transcendent, which may (or may not) lead to or arise from the development of religious rituals and formation of community". Rumun (2014) states that spirituality entails a deeper dimension to human life and an inner world of the soul, while Nmah (2011) perceives spirituality as incorporating faith in order to advance given objectives such as a high state of awareness, out of reach wisdom, or communion with God or creation. He (Nmah) further writes that spirituality includes introspection and the development of an individual's inner life through practices such as meditation, prayer and contemplation.

With regard to the topic under study in this research, social work involves dealing with a complex relationship between professional and spiritual values (Neagoe, 2013). As such, it is inevitable to approach the aspect of social work ethics from a spiritual point of as well. Lezotte (2010:7) writes that religious and spiritual beliefs and practices are part of our multicultural diversity. Therefore, social workers should also have knowledge and skills in this area in order to be able to work effectively with diverse client groups. The just cited author explicitly states that there is another dimension of human existence beyond the bio-psychosocial framework that can be used to understand human behavior and social work education should expand this framework to include the spiritual dimension.

Apparently, an overwhelming amount of literature reveals that a majority of social workers feel that they do not have the appropriate training to utilise spirituality in their practice, while others even express ambivalence and anxiety around spirituality (Belcher & Mellinger 2016; Bullis, 1996; Carrington, 2013; Moss, 2003; Oxhandler & Parrish 2018). As Gray (2008:176-177) also writes, authors in the field of spirituality lament the lack of training for social workers to deal with spiritual issues, especially of the clients. According to Garcia-Irons (2018:2), the discrepancy between the desire for more common use of spirituality in social work practice in the field and the lack of formal training and education on the topic has ethical implications for the social work field.

For example, social workers may be depriving clients of an opportunity of exploring a topic or source of strength and hope that may otherwise help them. For instance, in

patients with HIV/AIDS or those dealing with sexual self-esteem, spirituality has been shown to be a major positive coping factor through therapy (Seinfeld, 2012). Sheridan *et al.* (2014) also writes that on the other hand, a client may have a very strong connection to her or his faith or spiritual practice and the social worker may not be sufficiently prepared to speak on the topic and realize how it fits in helping the client.

With regard to the subject hereby under investigation, the obvious ethical question that arises is whether the charitable organisations operating in Mongu have the appropriate training and education to deal with spiritual issues in the execution of their philanthropic strategies, especially in a country like Zambia that is a self-confessed Christian nation?

### **2.5.2.2 Ethical dilemmas and ethical decisions in social work**

Ethical dilemmas are conflicts that arise when two or more ethical principles clash (Malinga *et al.*, 2018). The just previous section connects directly with the question of ethical dilemmas in social work as it involves dealing with a complex relationship between professional and spiritual values. For example, should a social worker bend the rules for allocating home care services to help a very needy person, or follow the criteria and refuse the application? In this case the social worker is faced with a conflict between interests of the individual and public interest in following rules and criteria that apply to everyone. Such ethical dilemmas as this are not uncommon in the practical field of social work. Blenberger and Fränkel (2006), provide a list of common ethical dilemmas in social work, though without claim for exhaustiveness as follows:

- i. Care, support and assistance versus control and demands.
- i. The risk of a seemingly necessary caring attitude leading to the loss of a person's own power of initiative and sense of dignity.
- ii. Respect for a person's right to self-determination and freedoms versus the risk of one's efforts leading to the stigmatization of that person and their wounded self-esteem.
- iii. Difficulties in treating clients with respect and of creating a positive relationship in a job that has unavoidable elements of demand and control.
- iv. Maintaining democratic values such as individual freedoms and equal opportunities for both sexes versus showing admiration for persons and groups who do not uphold these values.

- v. The conflict between, on the one hand, defending/protecting certain clients and, on the other, taking into consideration the interests of those closely related and others.
- vi. The right of the child to advantageous living conditions versus the right of the parents to exert their parentage and live their family lives on their own terms.
- vii. Prioritizing time and resources between different client categories with different needs.
- viii. Carrying out measures deemed necessary and proper versus demands for economic stringency.
- ix. Maintaining loyalty with the work and the organisation, even when one finds policy and working conditions to be contrary to well-founded practice and the best interests of the client, and perhaps also to juridical norms for the work.
- x. Conflicts of loyalty between defending the client's best interests and support and defence of a colleague.

How social workers resolve ethical dilemmas has been a subject of rising concern. With the focus on ethical dilemmas, Banks (2015:11-12) writes that textbooks on social work ethics often include significant sections on decision-making about how to act in difficult situations (e.g. Bowles *et al.*, 2006; Dolgoff *et al.*, 2012; Reamer, 2006). According to Congress (2000:9), social workers in this regard are guided by two main principles, namely beneficence (positive obligation), which speaks of providing good, and non-maleficence (negative obligation), which relate to causing no harm. Accordingly, social workers who prefer beneficence are most likely to take a proactive stance, while those who favour non-maleficence are likely to opt for the least intervention such as taking no action and waiting for further results. Ultimately, however, both principles affect ethical decision-making.

Furthermore, whether knowingly or unknowingly, social workers usually appeal to two philosophical models – deontological and teleological – in resolving ethical dilemmas (Congress, 2000:9). The just cited author and Reamer (2019:17-19) write that deontological thinkers believe that social work values such as confidentiality and self-determination are so absolute and definitive of the profession that to deny them would lead to distrust or disrepute of the profession. Many social workers, however, use a teleological approach, which involves examining the consequences of a situation or



decision (Congress, 2000:9). The just cited author further writes that most social workers actually employ a combination of deontological and teleological thinking in resolving ethical dilemmas.

As such, one would rationalise that although the values of the social work profession are deontological in nature, social workers usually use teleological consequential arguments to decide complex ethical dilemmas (Congress, 2000:10). According to the just cited author and Reamer (2019:20), most social workers do not use a philosophical approach at all but base their decisions on other models of practical wisdom and moral reasoning when faced with ethical dilemmas, which is akin to practical moral reasoning (phronesis) discussed under ethical perspectives from practical theology (Section 2.4.1.4). Banks (2015:12) cites Congress' (1999) five-step ETHIC model as one of the most cited linear approaches to decide on ethical dilemmas as hereafter presented.

- E** Examine personal, cultural, societal, client, agency and professional values.
- T** Think about the various UN declarations on rights and related covenants, codes of ethics, laws and agency regulations.
- H** Hypothesize different courses of action based on varied decisions.
- I** Identify who is most vulnerable, who will be harmed or helped.
- C** Consult with supervisors and colleagues.

This is a simple and straightforward user-friendly model that can help social workers to make ethical decisions in circumstances when they are faced with ethical dilemmas in the social work field.

### **2.5.2.3 Summary of ethical perspectives from social work**

Principles of social justice, human rights, collective responsibility and respect for diversities underpin social work practice. Apparently, the discourse of social work is also enriched significantly by theological ethics through the latter's emphatic criticism of the limited focus of professional ethics of social work, which focus mainly on deontological and utilitarian ethics.

Although the issue of ethics in social work is not easily reconciled globally, which is customary of social work discourse, it is generally accepted that ethics in social work can be summed into six fundamental foci. These are: social justice, service, dignity and worth of the human person, integrity, importance of human relationships, and competence.

Apparently, these ethical categories or perspectives are also applicable to the topic of this research.

Another area of ethical consideration for the perspective of social work concerns spirituality in social work as the origins of social work are in the practices of spirituality and religion and the principles thereof are based on the biblical idea of charity. The discrepancy between the rising concerns for more common use of spirituality in social work practice in the field and the lack of formal training and education on the topic poses serious ethical implications for the field of social work. As such, the perspective of spirituality in social work has definite implications for the subject under investigation.

Ethical dilemmas arise when two or more ethical principles clash and this calls for ethical decision-making or practical moral reasoning.

Next are ethical perspectives from common with regard to the subject hereby under study.

### **2.5.3 Ethical perspectives from common law**

From the perspective of common law, the ethical evaluation of philanthropic strategies of charitable organisations operating in Mongu will be based on a threefold criterion of theoretical interpretation, ethical reflection, and good practice (Osmer 2008:161).

#### **2.5.3.1 Theoretical interpretation of charitable organisations and purposes**

Theoretical interpretation is the ability to draw on theories of the arts and sciences in order to understand and respond to particular episodes, situations, and contexts (Osmer, 2008:83). It is important to highlight from the outset correct theoretical interpretation is as critical in this study as in any other because correct interpretation produces correct results while wrong interpretation produces wrong results (Vorster, 2004:19). As such, it is important to have correct theoretical interpretation of charitable organisations and purposes in order to come up with a correct ethical evaluation of philanthropic strategies of charitable organisations operating in Mongu.

The original Greek concept of “theory” (*θεωρία – Theōria*) in itself neither meant science nor connoted a scientific construct or model. According to Harrington (2005:2) ‘*θεωρία*’ rather implied a reflection on science and its values as one mode of contemplating the cosmos, including art, myth, religion, and the most general discipline of thinking that the Greeks called “philosophy” or “love of wisdom”. This is in tandem with Arendt’s (1958) long-held view of a world where theory and philosophy do not only assist science, but also remind science of its ethical and obligations amidst the fragility of the earth’s

resources and mortality of the human life.

Therefore, the theoretical interpretation of charity and charitable (philanthropic) purposes should remind charities of their moral (ethical) obligations as they design their respective philanthropic strategies. Despite the fact that there is no common definition for charity and philanthropy, common law still dictates that there is enough societal jurisprudence to guide philanthropic strategies of charitable organisations towards moral ends. Vorster (2004:30-31) maintains that there is a sense of justice that is written and stamped on every person's heart and mind, respectively, and the civil authority has the obligation to develop this law and thus administer justice properly. As Van Wyk and Vorster (2012:9) rightly observe, even constitutions and laws are written from particular perspectives that are determined by worldviews.

In his award winning book on foreign policy, "The bottom billion: why the poorest countries are failing and what can be done about it", Collier (2007:139) writes that most conduct is guided by societal norms rather than laws. According to the just cited author, the world has so far generated a huge range of norms that are even enshrined in international standards and codes of conduct. He further postulates that most of these norms are voluntary, but some of them ultimately carry the force of law and can be massively effective even in inducing changes in governance. Such is common law with regard to charities and philanthropy, which in this case enforces that a charity must have a charitable purpose and be for the benefit of the public (Martin, 2011:20).

The ethical question arising from the foregoing theoretical interpretation is whether the philanthropic strategies of charitable organisations that operate in Mongu adhere to the dictates of common law pertaining to charities and charitable purposes?

This question leads to the next aspect of ethical reflection.

#### **2.5.3.2 Ethical reflection on charitable organisations and purposes**

Ethical reflection is the use of ethical principles, rules, or guidelines to direct action toward moral ends (Osmer, 2008:161). In this case, it comes close to developing normative perspective on boundary issues that cannot be crossed by the discourse of philanthropic strategies of charitable organisations. Thompson (2010:107) writes, "when thinking about any problem it is important to start by establishing own foundational values, that is principles which you are unwilling to compromise". Suffice it to state that this is not a matter of importing ethics into the research or problematic situation, but rather the

recognition that norms and values already are a part of the research (Osmer, 2008:149). According to Browning (1991:39), the application of such norms does not only occur at the end of the research, but is present from the beginning and influences it throughout.

The ethical aspects hereafter discussed emanate from a critical reflection of the background (Section 1.3.1) and problem statement (Section 1.3.2) in chapter one and other sections of this second chapter such as the historical development of charity law (Section 2.4) and social work perspectives (2.5.2). These will include of equality and fairness, right to self-determination, deserving and undeserving poor, transparency and accountability, and good practice.

### **a) Equality and fairness**

The aspects of equality and fairness in this context emanate from the problem statement in chapter one (Section 1.3.2, p7), and specifically from the six ethical guidelines to responsible giving (Lechterman, 2017), four of which are: giving to the neediest, giving mindfully, giving to heal and address injustices, and giving to overcome unjust policies. In the charitable purposes as expanded by the Charities Act of 2006 for England and Wales (Section 2.4, p11; Proirie, 2013:87), this is directly implicit in such charitable purposes as the advancement of human rights, conflict resolution or reconciliation or the promotion of religious or racial harmony or equality and diversity, as well as the relief of those in need by reason of youth, age, ill health, disability, financial hardship or other disability. Elsewhere, equality and fairness are also directly implied by ethical perspectives from social work such as social justice and well as dignity and worth of the human person (Section 2.5.2, i & iii).

Equality and fairness are as cardinal to the philanthropic strategies of charitable organisations as elsewhere in order for real socio-economic transformation to take place. This is so because all humans are worthy of respect in personal relationships and fair treatment in social institutions and before the law, according to Osmer (2008:51). It is the quest for equality and fairness that undergirded the court's decision in the Commissioners for Special Purposes of Income Tax v Pemsel (1891:15) as hereafter cited:

*"If I could accept, without reserve, the opinions expressed in Baird's Trustees with respect to the meaning of the term "charitable," I should still entertain doubts as to the rule applied to its decision, which has been followed in this case by the majority of the English judges. The only principle derivable from Lord Saltoun v. Lord Advocate, which can aid in the decision of this case, appears to me to be this - that the Act of 1842 must, if possible, be*

*so interpreted as to make the incidence of its taxation the same in both countries. In that case the language which the Court had to construe, which was not technical, had, when read in the light of the context, the effect of producing the equality which the legislature presumably contemplated.”*

In the discourse of his work, Thompson (2010a:107-110) stresses that equality and fairness are foundational values for economic transformation and growth. He further states that whereas success is perceived to be more of an economic feature, the question of whether economic growth should be the only consideration for success is an ethical question (Thompson, 2010b:129). As stated in chapter one, it is not ethically acceptable that the end always justifies the means because actions and processes that lead to a desirable end ought to be as desirable and acceptable as the desired end.

In the case of this particular study, it is expected of the charitable organisations that operate in Mongu to design and enact philanthropic strategies that enhance equality and fairness of the people, especially in aspects such as distribution of resources, respect in relationships, and fair treatment in social and legal institutions.

#### **b) Right to self-determination**

The problem statement in chapter one has also revealed that indigenous peoples in different parts of the world have experienced rapid culture change, marginalisation, and absorption into a global economy with little regard for their autonomy (Section 1.3.2, p7), a threat that borders of a people’s right to self-determination. According to UNPO (2017), the right to self-determination is essentially “the right of a people to determine its own destiny. In particular, the principle allows a people to choose its own political status and to determine its own form of economic, cultural and social development”. A critical issue with philanthropic strategies employed by charitable organisations, which in the case of this research are international NGOs and FBOs in Mongu, is whether the cultural changes and absorption into global economic systems brought about by these strategies take care of the indigenous people’s autonomous identity or rather marginalise the poor people (Kirmayer et al., 2000:5). As the just cited co-authors observe, indigenous people in various parts the world have experienced rapid culture change, marginalisation, and absorption into a global economy with little or no regard for their autonomy.

A practical example is hereby cited from a previous study conducted by the researcher, which involved the local community and an external FBO that funded the project through the local church (Mutemwa, 2017:163). According to the funding organisation, the

perceived need was forest preservation, but that was an inaccurate perception. It became evident from the interviews that the real need was human survival. The prevalent state of poverty in which the local people of Sesheke found themselves was a strong determinant of other human and environmental problems, a perspective that is also supported by Swanepoel and De Beer (2015:111). The people were cutting down trees, not with the ill-intention to destroy the environment, but as a desperate survival means. That was the real issue at hand. Learning from this example and several others, it is imperative for local communities to fully participate in both the formulation and implementation of philanthropic strategies intended for them, rather than merely trying out foreign concepts without due adherence to the autonomous identity and dynamics of their local context.

A key feature of economic transformation is action at grassroots where the affected people themselves take the leading part, with external experts and NGOs playing a facilitating role (Swanepoel and De Beer, 2015:44). As Collier (2007:9, 71) writes, "Change in the societies at the very bottom must come predominantly from within". This means that the initiative, drive, and ownership of the change process must come predominately from within the affected community members themselves. The just quoted author, nevertheless, also acknowledges that there is still need for technical and physical resources (aid, NGO, international policies) from outside to assist and strengthen inside initiatives (Collier, 2007:99-123).

The danger with some philanthropic strategies such as welfare approaches is that they can actually disempower local people and cause dependency (Blackman (2007:30-32). Accordingly, outside resources have only second order effect on poverty alleviation and community transformation, which is to strengthen inside initiatives. The first order effect must come from within the affected people themselves. As such, the focus of philanthropic strategies by charitable organisations should be on increasing self-reliance of the local people such as through income generation initiatives (Blackman, 2007:30). In this regard, the charitable organisations are expected, with the cooperation of local structures, to help individuals and communities attain sustainable transformational development through technical, physical, and financial support that enhance bigger and long term transformational initiatives (Van Hoek and Yardley, 2009:6). Therefore, the local communities must pay attention to the incentives and philanthropic strategies that enable local households to adjust their production systems and livelihoods in ways that guarantee both welfare and sustainable economic growth (Pender et al., 2001a:1). This

would ensure sustainable development strategies without compromising the local people's right to self-determination.

### **c) Deserving and undeserving poor**

The issue the deserving and undeserving poor is tied to the observation made in the problem statement that donors should reflect more on their giving decisions and, among others, should give to the neediest (Section 1.3.2, p7-8). In common law, this is directly implicit in the historical development of charity law, where the English state under Queen Elizabeth 1 had to distinguish between the poor who merited help and those who did not because they could work and help themselves (Section 2.4, p10). Said another way, not all those who were poor deserved help because others among them could work and help themselves.

The question of who deserves and who does not deserve help has a very long history that dates at least from about the late eighteenth century (Katz, 2013:1) and has particular implications too on the topic and scope of this study. Apart from other reasons such as policy issues, the impulse to categorically classify the deserving and undeserving poor has persisted for centuries because resources are also limited in the sense that neither the state nor private charity can distribute them in unlimited quantities to all who might claim need. The last cited author provides valid guidance towards a possible solution in form of three questions as follows:

- i. How can we draw boundaries between who does and who does not merit help?
- ii. How can we provide help without increasing dependency or creating moral hazard?
- iii. What are the limits of social responsibility (what do we owe to the poor and to each other)?

Such questions as the foregoing do form an integral part of a theoretical base or framework that can be used to ethically evaluate the philanthropic strategies employed charitable organisations operating within Mongu district in the Western province of Zambia.

The quest to distinguish between the deserving and undeserving poor is also implicit in the factors that preceded and precipitated the Elizabethan Statute of Charitable Uses of 1601. Martin (2011:21) records that as poverty increased and became a matter of national concern in England, the English state under Elizabeth I intervened and

established workhouses to discipline and make productive the poor who could work and also required of local parishes to provide for their own poor. The state later turned to encourage private philanthropy due to its own bankruptcy to assist the other category of poor people who were genuinely impotent of work. What is clear here is that the state's first approach was to distinguish between the deserving poor and undeserving poor. The philosophy underpinning this concept is that poverty is not only the result of being in need, but also of failings and fecklessness among the poor as Dorey (2015:1) observes. As such, there is need to include criteria for critically distinguishing between the deserving and undeserving poor in the evaluation of philanthropic strategies that are being employed by charitable organisations such as in Mongu district.

The principle on which the laws of the poor rested divided the poor into two categories, namely the "impotent poor" (deserving) and the "able poor" (undeserving poor) (Katz, 2013:5). Accordingly, the impotent poor were those wholly incapable of work due to genuine reasons such as old age, infancy, sickness, or corporeal debility. The able poor, on the other hand, were those who were capable of some work of one nature or another, but differing in the degree of their capacity and in the kind of work of which they were capable. The question of whether help is deserved or not is still as important for now as before because it entails not only an evaluation of the scale of financial hardships or poverty, but also an ethical judgment concerning the degree of culpability (Dorey, 2015:1). This a useful basic criterion for distinguishing between the deserving and undeserving poor that can be employed in an ethical evaluation of philanthropic strategies implemented by charitable organisations such as are operating in Mongu.

#### **d) Transparency and accountability**

The problem that has prompted this study is the fact that very little or nothing is known about the ethical obligations and operational strategies of the many charitable organisations in Mongu as revealed in both in the background and problem statement (Section 1.3.1 & 1.3.2), an aspect that borders on lack of transparency and accountability. Furthermore, it has been argued in the wider context of literature review that in some cases the information reported by charities could be insufficient or misrepresented for effective monitoring and regulation of the charities (1.3.2 p8). In the historical development of charity law (Section 2.4, p10), a major aim of the enactment of the Statute of Charitable Uses 1601 was to provide checks and balances, that is, transparency and accountability, to the administration of most charities and to prevent any misuse of



charitable property (Martin, 2011:21).

Since then, the aspect of transparency and accountability has become an increasingly serious ethical issue with regard to the operations of charitable organisations as donors are beginning to signal that they are not happy with the level of information provided so far by charities (Iwaarden et al., 2014:5). The Statute of Charitable Uses 1601 also aimed at appointing a bishop of a local diocese and the gentry as commissioners to supervise the administration of most charities and to prevent any misuse of charitable property (Martin, 2011:21). This was to ensure transparency and accountability. According to Hasnan et al. (2012:777), in many cases the information reported by the charitable organisations is either insufficient or misrepresentative for effective monitoring and regulation of the charities involved. In similar vein Atan and Sauhan (2012:118) also observe that there is a lack of transparency and information asymmetry between non-profit organisations (NPOs) and donors and that the NPOs, especially charities, need to improve on their transparency and accountability.

The foregoing description directly applies to International NGOs and FBOs that operate in Mongu district of Western Zambia as explained earlier in chapter one that next to nothing is known about their operations, not even by the concerned government line departments, let alone the general populous of the local community (Ministry of Community Development and Social Services, 2018:1, 7-9). This scenario poses enough danger to warrant an urgent ethical evaluation of the philanthropic strategies employed by charitable organisations that operate in this locality. To buttress it, substantial amount of literature review and empirical research has revealed that there is a causative relationship between the extent of disclosure levels and the amount of future donations received (Atan and Saunah, 2012:119). That is to say, the amount of future donations to be received either increases or decreases with the extent to which the disclosure level increases or decreases, respectively. For example, at least two thirds of Americans are losing trust in charities because they don't know how the charities are spending their money (Iwaarden et al., 2014:6). Therefore, if not ethically checked, even the well-intended philanthropic strategies of NGOs and FBOs operating in Mongu might yield undesirable results.

In view of the foregoing, there is dire need to develop criteria to enhance transparency and accountability of the charitable organisations that operate in Mongu both for public benefit and donor trust. According to Iwaarden et al. (2014:7) measurement of a charity's

performance is a complex matter that is easier said than done. The co-authors, however, consider measurements of internal efficiency and external effectiveness to be effective in addressing the complexities associated with measuring performance of charities. With regard to internal efficiency, most donors expect worthy charitable organisations to have lower administrative and fundraising costs than project expenditure costs (Bowman, 2006:288-310). According to the just cited author and Iwaarden et al. (2014:7), it is commonly accepted that program expenditure should be not less than sixty-five percent of the total expenditure, while the administrative and fundraising costs should be at most thirty-five percent.

With regard to external effectiveness, it is preferable to measure what is possible rather than what is important – a tendency which manifests in measuring specific projects or programs instead of the whole organisation (Cunningham and Ricks, 2004:44-51; Iwaarden et al., 2014:8-9). Although the relationship between the effectiveness of individual charitable programs and the overall effectiveness of a charitable organisations is still being studied (Iwaarden et al., 2014:9), the just cited co-authors still note that it is much easier to assess the effectiveness of a particular program than a whole organisation.

By implication in the discussion of this section, measurements of internal efficiency and external effectiveness would be helpful in enhancing the levels of transparency and accountability with regard to philanthropic strategies of charitable organisations that operate in Mongu district of Western Zambia.

#### **e) Good practice**

Good practice involves deriving acceptable norms from exploring models of such practice in the present and past or by engaging reflexivity in transforming practice in the present (Osmer, 2008:161). As such, the historical development of common law concerning charities and charitable purposes discussed earlier in this chapter is in itself also an aspect of good practice. The ethical reflection on universal ethical principles in the background (Section 1.3.1, p5) and guidelines for responsible giving by Lechterman (2017) as outlined in the problem statement (Section 1.3.2, p7) in chapter one also entails good practice with regard to the topic of this study. A recapitulation of the respective guidelines is hereby provided: giving from the heart, giving to the neediest, giving mindfully, giving to heal and address injustices, giving to overcome unjust policies, and mixing and matching.

In the broader perspective, other models of good practice can be derived from charitable organisations such as Charity Organisation Society (COS) formed in 1869 for the purpose of providing a much greater degree of coherence and coordination to the hundreds of disparate and ad hoc voluntary bodies and philanthropic groups that dealt with the poor during the latter half of the 19th century (Dorey, 2015: 1-3). The COS did not, however, involve itself in providing direct support financially or in kind, but rather sought to liaise with other charities by referring “*deserving cases*” to them while encouraging such voluntary bodies to adhere to a set of shared principles. So the role of the COS was to promote and disseminate good practice with regard to philanthropic activities by charitable organisations. Such a model as this can be very helpful towards evaluating the ethical aspects of philanthropic strategies by charitable organisations that operate in Mongu.

Finally, suffice it to deduce that the aspects of theoretical interpretation and ethical reflection explored in this section also constitute good practice with regard to the subject under investigation. This can be understood better when presented in form of a linear equation such as follows:

Theoretical Interpretation + ethical reflection = good practice.

### **2.5.3.3 Summary of ethical perspectives from common law**

The ethical perspectives from common law with regard to philanthropic strategies of charitable organisations operating in Mongu have been based on threefold criterion of theoretical interpretation, ethical reflection, and good practice. Accordingly, theoretical interpretation of charity and charitable purposes should remind charities of their ethical obligations as they design their respective philanthropic strategies. Similarly, is common law enforces that a charity must have a charitable purpose and be for the benefit of the public. The ethical question arising from theoretical interpretation of charity and charitable purpose is whether the philanthropic strategies of charitable organisations operating in Mongu adhere to the dictates of common law pertaining to charities and charitable purposes?

Ethical reflection included the aspects of equality and fairness, right to self-determination, deserving and undeserving poor, and transparency and accountability. Good practice applies directly to the aspect of common law concerning charities and charitable purposes as it involves deriving acceptable norms from exploring models of such practice in the present and past or by engaging reflexivity in transforming practice in the present. Suffice

it to infer that the aspects of theoretical interpretation and ethical reflection also constitute good practice with regard to the subject under investigation. For a better understanding, this can be presented in form of an equation as follows: theoretical Interpretation + ethical reflection = good practice.

## 2.6 CONCLUDING PERSPECTIVES ON CHAPTER 2

This chapter has dealt with the operationalisation of charitable organisations operating in Mongu district of Western Zambia. Accordingly, the researcher has explored in details the head aspects of charity and charitable organisations, identifying the types of charitable organisations operating in Mongu, historical development of charity law, and theoretical framework for the ethical evaluation of philanthropic strategies employed by charitable organisations operating in Mongu district.

The word “*charity*” has got its roots in the Bible and it underlines the idea of “*diakonia*” in Protestant theology, while in Catholic theology it embraces the “*caritas theory*” (Opatrný, 2020:301; Šimr, 2017). The contemporary central message of both diakonia and caritas theory is a reflection on the church’s charitable praxis, which is synonymous to social welfare services by the church. Somewhere in the mid-1800s, establishments called charitable organisations were set up and they consisted of church personnel and volunteers who were designated to help to the poor, homeless, and severely ill people in society (Garcia-Irons, 2018:1-7). The principles underlying these early social work practices were founded on the biblical idea of charity.

The meaning of charitable organisations and charitable purposes is not defined in statutes, but at common law and the common law definition is mainly based on the Preamble to the Statute of Charitable Uses enacted by the English Parliament in 1601 (also known as the Statute of Elizabeth) and Commissioners for Special Purposes of Income Tax v Pemsel (1891:5) ALL ER Rep 28 (Pemsel’s case). As per Pemsel’s case, any common law definition of charity requires that a charity have a charitable purpose and be for the benefit of the public. As Gousmett (2009:23) writes, the four principal divisions of charitable purpose in Pemsel’s case of 1891 has been the key criterion against which charitable activity is measured. The Zambian government’s definition of a charity, which is synonymous to an NGO, as cited in chapter one, to a greater extent also adheres to the Pemsel’s case criterion of charitable purpose.

To rightly categorise charitable organisations, one needs to look at the different functions that they perform and the sectors they support. The types of charitable organisations found in Mongu have been identified as international NGOs and FBOs.

Understanding the historical development of charity law is necessary for its correct application as the current definition of charity and charitable purpose is based on over four hundred years of common law since the Statute of Charitable Uses 1601. Therefore, it is important to understand the historical background of this law because the evolution of charity law around the Statute of Charitable Uses 1601 still resonates in law to date. As such, it forms an important framework for the topic of this research too.

Finally, this chapter has located the theoretical framework for the ethical evaluation of philanthropic strategies by charitable organisations such as operate in Mongu within an interdisciplinary perspective of theological and sociological discourses comprising pastoral theology, social work, and common law.

## **CHAPTER 3**

### **RESEARCH DESIGN AND METHOD**

#### **3.1 INTRODUCTION**

As per the proposed basic structure of the dissertation, this chapter will present the research design and method as influenced by the nature of the problem statement and general purpose of the research (Boru, 2018:1, 6; Osmer, 2008:48; Sheridan and Kisor, 2000:3). According to Akhtar (2016:68) and Labaree (2009:1), this rationale for the research design and method will help to guide the planning and implementation of the research in such a way that is most likely to achieve the intended goal(s), as well as maximise control over factors that could interfere with the validity of the research findings.

The problematic praxis with regard to the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district has been discussed in chapter one (Section 1.3.2) in order to present the contexts that call for this investigation. This study seeks to find answers to specific questions that flow out of the current praxis (theory and practice) of the charitable organisations operating in Mongu district and subsequently lead to research objectives, all of which have been described in details in chapter one. The discourse of chapter one has, therefore, served to highlight the importance and contribution of this research to the wider context of philanthropic strategies employed by charitable organisations. The methodology of the research was also introduced and explained in the first chapter.

Chapter two operationalised the charitable organisations operating in Mongu district and also established metatheoretical assumptions informing the study. Accordingly, the ethical evaluation of philanthropic strategies employed by the charitable organisations has been explored by means of literature research into various neighbouring social sciences such as theology, psychology, sociology, and anthropology so as to establish a theoretical framework for the ethical evaluation of the subject under investigation.

In this chapter, the researcher will present a thick description of the research design and method that addresses the research problem in such a way that the research findings can be meaningful and trustworthy (Geertz, 1973; Gibson and Brown, 2009:8; Oxford Reference, 2020). According to Conrad and Serlin (2006:415) a thick description will also enlighten theory and practice.

### 3.2 RESEARCH DESIGN

A research design can be considered as the structure or plan of the research (Akhtar, 2016:68). It can also be considered as the specific type of inquiry within a methodology (qualitative, quantitative, or mixed methods) that provides specific direction for procedures to be followed in a research (Creswell, 2014:41). The objective of a well-formulated research design is to structure the research project in such a way that the research problem is addressed and the research findings can be regarded as authentic (Akhtar, 2016:68; Mouton, 1996:107; Wilson, 1993:14). Akhtar (2016:71) further writes that a research design is necessary to make possible the smooth sailing of the required research procedures and, thereby, making a research to be as professional as possible. Accordingly, the researcher will follow the elements of research design as outlined by Osmer (2008:48), namely purpose of the research, strategy of inquiry, research plan (methods) and reflexivity (reflection on meta-theoretical assumptions informing the study).

All decisions about a research design, that is its strategy of inquiry and plan, are determined by the nature of the problem and general purpose of the research (Creswell, 2014:31; Sheridan and Kisor, 2000:3; Osmer, 2008:48) and the respective theoretical framework (Anfara and Mertz, 2006:23-36). The guiding purpose of this study is to evaluate the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district of Zambia's Western Province. As discovered in chapter two (Section 2.5), the theoretical framework thereof is based on an interdisciplinary perspective of theological and sociological discourses comprising pastoral theology, social work, and common law.

As per the location of the theoretical framework of this study within theological and sociological perspectives, the research design is hereby based on the descriptive-empirical perspectives as presented within Osmer's (2008:31-78) tasks of practical theological interpretation. Accordingly, the process involves gathering information by means of individual, semi-structured interviews, which will help to discern patterns and dynamics within the area of this research (Osmer, 2008:4). The collected empirical data are interpreted with deliberate emphasis on the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district of Western Zambia and an analysis of the results is given. Accordingly, this research will adhere to Osmer's (2008) model that offers a clear procedural and methodological movement from an

existing praxis to a new praxis based on proper situational, theoretical, and theological analyses.

The study will employ qualitative methodology as earlier indicated in chapter one.

### **3.2.1 Qualitative Research**

As already mentioned and explained in chapter one (Section 1.7), the researcher will employ a qualitative methodology (in preference to quantitative methodology) because it is better suited to studying small numbers of people, groups, or communities in depth (Osmer, 2008:50). Qualitative research is hereby defined as an iterative process in which improved understanding of the scientific community is achieved by making new significant distinctions resulting from getting closer to the phenomenon being studied (Aspers and Corte, 2019:1). The qualitative research design thus allows for participant's perspectives and understandings of a phenomenon to be revealed as both Merriam and Patton (cited by Anfara and Mertz, 2006:34) write. The key concepts in qualitative research are reflexivity, thick description, and naturalism (Gibson and Brown, 2009:8).

The sequence of steps to be followed in executing the research is according to the general pattern presented by Osmer (2008:55-57), namely: data collection, data transcription, data analysis and interpretation, and performing research findings. As indicated in section 1.5 of chapter one, no fixed sample size will be determined beforehand because the interviews will have to be conducted until data saturation occurs. Prefixing a restrictive timeframe is further inhibited by the availability of the informants that cannot be guaranteed at first approach as well as budget, time, and political constraints (Bamberger et al. (2012:6-10).

As a qualitative research, this study will have explorative, descriptive, and contextual foci in order to get closer to and acquire in-depth understanding of the ethical aspects of philanthropic strategies that are employed by charitable organisations in Mongu district of Western Zambia.

#### **3.2.1.1 Explorative Approach**

Explorative research in social sciences implies a broad-range, purposive, scientific, and pre-arranged undertaking designed to optimise generalisations that can lead to a detailed description and understanding of an area of social or psychological life (Stebbins, 2011:3; Swedberg, 2018:1-5). According to the latter of the just cited authors and Blaikie (2000:73), an explorative research is undertaken when very little is known about the



subject being investigated or about the context in which the research is to be conducted. This means that the topic may have never been investigated at all or never in that particular context. The aim of exploratory research is to discover the relationships and dimensions of a phenomenon (Talbot, 1994:90).

In this particular research, the need to explore arises from a lack of specific documented information regarding the subject under investigation. Furthermore, this study is considered to be explorative because it seeks to understand the local people's individual experiences of the ethicality of philanthropic strategies implemented by charitable organisations in Mongu district and the meaning that they ascribe to it. As an explorative research, the researcher will endeavour to establish facts and collect new data in order to determine if there are any interesting patterns or regularities in the data as Borg *et al.* (1993:195) and Mouton (1996:103) write. Said another way, this study aims to explore the ethical aspects of philanthropic strategies that are employed by charitable organisations operating in Mongu district and determine whether the data collected reveals certain common patterns and regularities as well as if they disclose some specific relationships that attract research attention.

### **3.2.1.2 Descriptive Approach**

The aim of the descriptive approach in this research is to provide an in-depth or thick description of the philanthropic strategies of charitable organisations in Mongu and develop action-guiding models to enhance their ethicality, based on findings of the data that is collected. As a descriptive study, the process involves attending to the words and actions of the people involved or concerned without filtering them through interpretive and normative judgments (Osmer, 2008:59; Sandelowski (2010:77-84).

It is, however, important to note that the descriptive approach in this sense is not inference-free, but rather a methodological approach of least inference among categories of qualitative work (Seixas *et al.*, 2018:779). In accordance with the just quoted author, the fundamental concern of a descriptive approach is to provide a sort of report of events, institutional structures, and commonly observable behaviours, as well as the meaning of these things for the people studied. As such, there must be at least a conscious movement of acknowledging the phenomenon under study in order to come up with a valid description of the reality.

In view of the foregoing, the descriptive approach in this research is considered to be flexible, iterative, and naturalistic so as to results in thick descriptions that are flexible in

ways in which the research data is constructed (Gibson and Brown, 2009:7). Although many a study do portray descriptive elements as a whole, this research design will, in accordance with Barbie & Mouton (2001:53) and Sheridan & Kisor (2000:102), endeavour as much as possible to break down the whole into smaller segments that can be studied in detail.

### **3.2.1.3 Contextual Approach**

“Context” hereby means the physical, geographical, cultural, historical or aesthetic setting within which action takes place as Lawrence-Lightfoot (cited by Patton, 2002:63) writes. It is fundamentally preferable that a research is conducted within its respective specific context because conceptual validity is only achieved when both the constructs of investigation and any philosophical assumptions drawn from there are acknowledged and understood within the context of their study (Knight *et al.*, 2010:7). As such, it is both logically and scientifically acceptable to infer that human nature is specified and made intelligible by the particular context in which it is found (Schwandt. 2001:37).

Therefore, the ethical aspects of philanthropic strategies employed by charitable organisations in Mongu district are hereby investigated within the context where they exist in order to understand the surrounding dynamics and systems (Schurink, 1998a:281). Accordingly, the study will gather detailed data pertaining to the topic under study as revealed in its unique and naturalistic context. The researcher will then develop and describe action-guiding models for enhancing ethicality of philanthropic strategies by the charities in Mongu district of Western Zambia.

Although the research findings are hereby valid within the specific time, space, and value context (Botes, 1991:22), Burns and Grove (2009:29) observe that by understanding the meaning of a phenomenon in its context, it becomes rather easier to understand phenomena in other similar situations.

### **3.2.1.4 Synopsis of Research Design**

A comprehensive synopsis of the research design is hereafter provided as per table 3.1.

**Table 3.1 Synopsis of the qualitative research design for the ethical evaluation of philanthropic strategies implemented by charitable organisations operating in Mongu district of Western Zambia**

<b>STAGE 1</b> <b>Data collection - semi-structured interviews with various stakeholders</b>	<b>INTERMEDIATE STAGE (IMS)</b> <b>Researcher's observations</b>	<b>STAGE 2</b> <b>Data analysis</b>	<b>STAGE 3</b> <b>Reflection on research process &amp; subject under investigation</b>	<b>STAGE 4</b> <b>Dissemination of research findings and qualitative research report</b>
<p>1.1 Identifying excellent participants (purposeful sampling)</p> <p>1.1.1 Senior permanent residents of Mongu for at least five years.</p> <p>1.1.2 Senior officials of NGOs that operate in Mongu.</p> <p>1.1.3 Senior government officials from line ministries or departments that</p>	<p>IMS1 Observation in the field of research (Mongu district)</p> <p>IMS1.1 Observational notes</p>	<p>2.1 Transcribing interview recordings verbatim.</p> <p>2.1.1 Organising notes of the researcher's observation in a fully legible and logical manner of data.</p>	<p>3.1 Reflection on the whole research process with regard to the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu to determine whether the research problem and question have been addressed satisfactorily.</p>	<p>4.1 Research findings of the ethical evaluation of philanthropic strategies employed by charitable organisations made known to the participants and thanking them for their participation.</p>

<p>work with NGOs operating in Mongu (e.g., Ministry of Community Development and Social Services).</p>				
<p>1.2 Making appointments with prospective participants for the interviews through:</p> <ul style="list-style-type: none"> <li>• Personal contacts</li> <li>• Phoning</li> <li>• WhatsApp</li> </ul>	<p>IMS2 Observations during interviews</p> <p>IMS2.1 Personal notes</p> <p>IMS2.2 Observational notes</p> <p>IMS2.3 Methodological notes</p>	<p>2.2 Coding by researcher</p> <p>2.2.1 Independent coding by an experienced coder to avoid researcher biasness with regard to data interpretation and bigger research process.</p>	<p>3.2 Triangulation to bolster credibility of the data and research process, create a more in-depth picture of the research problem and investigate different ways of understanding it.</p>	<p>4.2 Qualitative research report submitted to FT USB.</p>
<p>1.3 Pilot study</p> <p>1.3.1 All interviews to be recorded.</p> <p>1.3.2 <b>Informed consent</b> to be signed by each participant prior to the interview.</p> <p>1.3.3 Testing the initial</p>		<p>2.3 Data interpretation</p> <p>2.3.1 Compare and contrast all items of data assigned to same category and across categories to clarify what the categories that will have emerged mean.</p>	<p>3.3 Member checking by participants to validate the accuracy of the recorded data and reasonableness of the interpretations drawn from there.</p>	

<p>interview question, method and procedures intended to be used in the research.</p> <p>1.3.4 One preliminary interview to be conducted with a participant from each of the stakeholder categories identified.</p> <p>1.3.5 Initial interview question to be asked to each participant</p> <p>1.3.6 Incremental to be asked as follow-ups according to the emerging flow of the conversation.</p>		<p>2.3.2 Identifying sub-categories and relations among categories.</p> <p>2.3.3 Develop storyline that makes sense.</p>		
<p><b>1.3.7 Initial interview question:</b> <i>What can you say about NGOs and works of charity in Mongu?</i></p>				

**1.3.7 Structure of expected answers and incremental questions** (In no particular order and could be modified during pilot study. The structure of expected answers also reveals possible coding and anticipated links between the incremental questions and codes. Sections of the connected key ethical aspects in the dissertation are indicated in parentheses)

Structure of expected answers (topics)	Possible sources	Incremental questions	Purposes of the incremental questions	Key ethical aspects connected (Codes)
<ul style="list-style-type: none"> <li>• Expressing ignorance about NGOs and/or their works of charity in Mongu (e.g. don't know anything or much about the NGOs and what they are doing in Mongu).</li> </ul>	<ul style="list-style-type: none"> <li>• Mongu residents</li> <li>• Government officials (as per research problem – Section 1.3.2)</li> </ul>	<ul style="list-style-type: none"> <li>• How can the local community get to know about and benefit from the works of charity done by NGOs in Mongu?</li> <li>• What are the real pressing problems of the people in Mongu that you think the NGOs should address?</li> </ul>	<ul style="list-style-type: none"> <li>• To explore how the local community can get to know and benefit from the charitable works done by NGOs operating in Mongu.</li> <li>• To reveal the real pressing issues in the community that the NGOs should be addressing.</li> </ul>	<ul style="list-style-type: none"> <li>• Ethical reflection with universal ethical principles (2.5.1.1)</li> <li>• Transparency and accountability (2.5.3.2d)</li> <li>• Social justice (2.5.2).</li> <li>• Good practice (2.5.1.3)</li> <li>• Practical moral reasoning (2.5.1.4)</li> </ul>
<ul style="list-style-type: none"> <li>• NGOs helping people.</li> </ul>	<ul style="list-style-type: none"> <li>• NGO &amp; government officials</li> </ul>	<ul style="list-style-type: none"> <li>• What kind of help and who are the people being helped?</li> <li>• Is the help rendered enough and addressing the</li> </ul>	<ul style="list-style-type: none"> <li>• To determine the criteria used to select those who receive help.</li> <li>• To determine if the said help is offered the neediest in society</li> </ul>	<ul style="list-style-type: none"> <li>• Ethical reflection with universal ethical principles (2.5.1.1)</li> <li>• Equality and</li> </ul>

		real pressing problems of the people of Mongu?	and whether it is sufficient.	fairness / equal regard (2.5.3.2a / 2.5.1.2) • Deserving and undeserving poor (2.5.3.2c) • Integrity (honest & truthfulness) (2.5.2)
• NGOs supplementing / supporting government efforts.	• NGO & government officials	• Are there any practical examples of government efforts that are being supplemented / supported by NGOs in Mongu? • Are the government efforts being supplemented / supported aimed at resolving the real pressing problems of the people of Mongu?	• To authenticate the claim by NGOs & government officials. • To determine whether the supported / supplemented government efforts are for genuine causes or not.	• Ethical reflection with universal ethical principles (2.5.1.1) • Social justice / Giving for noble causes (e.g. to heal injustices; overcome unjust policies) (2.5.2 / 1.3.2) • Integrity (Section (2.5.2) • Good practice (2.5.1.3)

<ul style="list-style-type: none"> <li>• NGOs not helping or not doing enough to help the people of Mongu.</li> </ul>	<ul style="list-style-type: none"> <li>• Mongu residents</li> <li>• Government officials</li> </ul>	<ul style="list-style-type: none"> <li>• In which particular areas are the NGOs not helping or not doing enough to help the people of Mongu?</li> <li>• What are your expectations with regard to the charitable works of NGOs in Mongu?</li> </ul>	<ul style="list-style-type: none"> <li>• To assess the impact of the charitable works of NGOs in Mongu.</li> <li>• To reveal community expectations regarding charitable works of NGOs in Mongu.</li> </ul>	<ul style="list-style-type: none"> <li>• Social justice (2.5.2)</li> <li>• Integrity (2.5.2)</li> <li>• Good practice (2.5.1.3)</li> </ul>
<ul style="list-style-type: none"> <li>• NGOs not in touch with the local people (to know their real needs)</li> </ul>	<ul style="list-style-type: none"> <li>• Mongu residents</li> </ul>	<ul style="list-style-type: none"> <li>• So, what's your personal feeling or opinion about the presence of NGOs and their activities in Mongu?</li> </ul>	<ul style="list-style-type: none"> <li>• To find out the general perception of the local people concerning the presence and activities of NGOs in Mongu.</li> <li>• To determine if there is something else important to the participants and related to the study topic, but not asked.</li> </ul>	<ul style="list-style-type: none"> <li>• Practical moral reasoning (2.5.1.4)</li> <li>• Good practice (2.5.1.3)</li> </ul>
<p>1.4 Main study</p> <p>1.4.1 To continue from pilot study and after adjustments, if any.</p> <p>1.4.2 To include relevant data from the pilot</p>		<p>.4 Use the analysed data to reflect on the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu.</p>		



study				
1.4.3 All interviews to be recorded.				
1.4.4 <b>Informed consent</b> to be signed by each participant prior to the interview.				
1.4.5 Semi-structured interviews with more participants of comparable numbers from each stakeholder group, including gender balance and a cross-section of age groups.				

The contents of the research method in the following section (Section 3.3) and its sub-sections also cater for the more detailed explanations of the information contained in the foregoing tabular synoptic research design.

### **3.3 RESEARCH METHOD**

The research methods that will be used to collect data are one-on-one, face-to-face and focus group semi-structured interviews, as well as the researcher's observation (Bamberger *et al.*, 2012:301; DeJonckheere and Vaughn, 2019:2). And based on the interview method, the researcher will apply several methodological steps in order to come up with a rich and meaningful description of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district (Leedy and Ormrod (2001:147). Among others, the steps will include sampling, pilot study, and data analysis (Gibson and Brown, 2009:9-11). As Rajasekar *et al.* (2013:5), write, research methods are the various procedures, techniques and algorithms used in research. According to Creswell (2014:45), these are specific methods involving forms of data collection, analysis, and interpretation that a researcher proposes for a particular study. As McLeod and Thompson (2009:66) write, qualitative research requires applying several waves of approach on one or fewer cases in order to come up with rich and meaningful description of the subject under investigation.

As it were, the specific methods to be used in a research are determined by the strategy of inquiry chosen for the study (Osmer, 2008:54-56). Therefore, the problem is not so much with gathering data as with coming up with meaningful data that are relevant to the research problem, research question, and the research purpose (Creswell, 2003:29-30; Richards, 2009:33). The researcher will thus endeavour to employ appropriated methodological steps that will assist to generate data that are relevant to providing a rich and meaningful description of the research topic hereby under study.

The particular methodological steps to be employed will now be discussed in details.

#### **3.3.1 Data Collection**

Empirical data will be collected by the researcher with due attention to empirical evidence guidelines in order to gain knowledge on the ethical aspects of philanthropic strategies of charitable organisations working in Mongu district. According to Bamberger *et al.* (2012:301), qualitative research involves three hallmark data collection methods, namely observation, interviewing, and review or analysis of documents or artefacts. Subsequently, the data collection process in this study will include in-depth one-on-one and focus group interviews with qualifying informants as well as field notes of the researcher's observations

in order to provide a thick description of the phenomenon under study (Hall, 2014; Holliday, 2010:60-88; Osmer, 2008:54; Seale et al., 2010:2016). The detailed explanation of the nature and method of interviewing to be employed will now be discussed.

### **3.3.1.1 Semi-Structured Interviews**

As a primary source, one-on-one, face-to-face, as well as focus group semi-structured interviews (DeJonckheere and Vaughn, 2019:2) will be conducted with the permanent residents of Mongu district, senior officials of charitable organisations (NGOs) operating in Mongu district, and senior officers of government line ministries that collaborate with the respective charities. The researcher will conduct the interviews with the sole purpose of getting textured and authentic data concerning the local people's lived experiences of the ethical aspects of NGOs that operate within Mongu district and the meaning that they ascribe to it (Heck, 2006:380).

The overall purpose of using semi-structured interviews in data collection is to gather data from key informants who have personal experiences, attitudes, perceptions, and beliefs related to the topic under investigation (DeJonckheere and Vaughn, 2019:2; Kvale, 1996:1; Omery, 1983:50). According to Atkinson and Silverman (1997), interviewing is currently the central resource through which contemporary social science engages with issues that concern it. As it were, semi-structured interviews are neither restrictively structured nor incautiously informal conversations (Osmer, 2008:63).

As such, the researcher will ask incremental questions during the interviews, starting with a non-threatening open-ended, but subject related question so as to get the general perspective of the participants as well as what is salient to them concerning the ethical aspects of charitable organisations operating in Mongu. To ask incremental questions means to approach, to guide, to focus, to develop, and to resolve through questions (Corley, & Rauscher, 2013:1; Dodge and Bennette, 2011:45; Hattingh-Rust, 2020:1). The first of the just cited sources (Corley and Rauscher, 2013:1) also writes that asking questions as a guiding tool can be traced back to the fourth century BCE when "Socrates used questions and answers to challenge assumptions, expose contradictions, and lead to new knowledge and wisdom". According to the latter two cited sources (Dodge and Bennette, 2011:45; Hattingh-Rust, 2020:1), asking incremental questions is a whole new science that has

resurfaced in education and research, which reveals and resolves complex issues pertaining to the research problem and general purpose of the research. Therefore, asking incremental questions is a critical element and skill in qualitative interviewing whereby the researcher is able to guide the conversation without actually controlling it (Adams, 2015:502-503; Osmer, 2008:61-62).

As indicate in the synoptic research design, the initial interview question to be asked is:

*“What can you say about NGOs and works of charity in Mongu?”*

This question stems directly from the research problem and is synonymous with the central research question, only simplified to make it non-threatening and comfortable for participants to answer and kick-start the conversation (Mutemwa, 2021:54). Incremental questions will be asked as follow-ups and according to the emerging topics in the responses of participants so as to guide and focus the conversation on the problem and goal of the research.

As seen from table 3.1 (Section 1.3.8), the structure of expected topics in the answers indicate how the researcher can provide coding in the answers to the incremental questions and also reveal anticipated links between the incremental questions and the codes.

As it were, the aim of asking direct questions to research participants is to create an analytically focused discourse that provides insight into specific research questions (Gibson and Brown, 2009:86). This is also in accordance with the overall aim of qualitative research, which is to understand the actions and practices in which humans engage in everyday life and the meaning they ascribe to their lived experiences Osmer (2008:49-50).

The researcher will give priority and focused attention to what each participant has to say in order to get what is salient to the participant rather than to him (Sapsford and Jupp, 2006:118). The respondent focused dimension will maximise opportunity for both focused and emergent information gathering, which is typical of qualitative research (Bamberger et al., 2012:308). Focusing on participants in interviews will help to explain the actions of participants as they are observed, which will in turn help the researcher to understand the extent to which their statements of intent and beliefs actually inform their behaviour regarding the subject under study (Bamberger et al., 2012:307).

The researcher will also endeavour to observe and capture both verbal and non-verbal expressions so as to gain a deep and rich understanding of the participants' lived experiences (Osmer, 2008:61-63). Since interviewing embraces symbolic interactionism (Neuman, 2000:71), the probability of getting more textured and authentic data regarding the subject being investigated is thereby increased.

### **3.3.1.2 Guidelines for semi-structured interviewing**

As a rule of the thumb, the researcher will adhere to the following guidelines for qualitative (semi-structured) interviewing:

- i. Be an active listener who attends carefully to both verbal and non-verbal responses and guides the conversation without actually controlling it (Adams, 2015:502-503; Osmer, 2008:61-62; Sapsford and Jupp, 2006:117-118).
- i. Endeavour to meet the prospective participants in their relaxed naturalistic settings to maximise results (Lincoln and Guba, 1985:306).
- ii. Be consistent and conduct the interviews in the same manner as much as possible.
- iii. Ask the same initial question to all participants and probe for further explanations with different questions as need be according to the emerging flow of each conversation (Barbie and Mouton, 2001:253; McLeod and Thompson, 2009:66-67; Osmer, 2008:62-63).

### **3.3.1.3 Triangulation**

Triangulation in research means examining a phenomenon from multiple perspectives and multiple pieces of data in order to enrich the understanding thereof (Nightingale, 2020:477; Wilson, 1993:84). In order for the data and research to be considered credible, the researcher will triangulate both the data sources and data collecting methods (Gibson and Brown, 2009:58-59; Lincoln and Guba, 1985:305).

The different data sources for this research are scheduled interviews with various stakeholders at different times in their geographical locations or naturalistic settings (Gibson and Brown, 2009:8; Lincoln and Guba, 1985:306). The different data collecting methods are in-depth one-on-one, face-to-face, semi-structured interviews with qualifying informants as well as field notes of the researcher's observation (Bamberger *et al.*, 2012:301). Therefore,

triangulation in this case will consist of interviews, interviews with various stakeholders, and the researcher's personal observation in the field of research as well as during the interviews.

A key strategy in triangulation is to categorise each group or type of stakeholders in the field of research in order to ensure that the objectives of the research respond to the needs and interests of stakeholders (climateactiontransparency.org, 2020). A researcher should thus ensure inclusion of a comparable number of people from each stakeholder group in the research field (Guion (2014:1). Triangulation is, in this case done by looking for outcomes that are agreed upon by all stakeholders. The understanding is that if every stakeholder looking at the issue from a different perspective sees a similar outcome, then the outcome is most likely to be true. In the case of this research (as outlined in the next section), the researcher will ensure inclusion of comparable numbers of participants from senior permanent residents of Mongu district, senior officials of government and charitable organisations (NGOs), as well as gender balance and a cross-section of age groups.

Furthermore, the researcher's personal observation in the district and during the interviews will also form an integral part of triangulation of the data collection process. As Bamberger *et al.* (2012:301) write, qualitative research involves three hallmark data collection methods: (1) observation, (2) interview, and (3) review or analysis of documents or artefacts. Subsequently, the data collection process in this study will include in-depth interviews with qualifying informants as well as field notes of the researcher's observations in the area and during the interviews. As such, triangulation will also involve the researcher's personal observation in the district as well as observation into the interviews in order to provide a thick description of the phenomenon being studied (Hall, 2014; Holliday, 2010:60-88; Osmer, 2008:54; Seale *et al.*, 2010:2016). Personal notes of the researcher's experience during the interview process, observational notes of the participants' verbal and non-verbal expressions, and methodological notes concerning the research process will be made. Observations during interviews will also help to explain the actions of participants as they are observed and such observations can also help the researcher to understand the extent to which their statements of intent and beliefs actually inform their behaviour regarding the subject under investigation (Bamberger *et al.*, 2012:307).

In a broader perspective, the researcher will also triangulate data sources throughout the study by means of literature review of various disciplines within social sciences. This will

help to establish the meta-theoretical assumption informing the study (Osmer, 2008:83). The researcher will, however, ensure that the influences of theoretical constructions explored in the literature review do not prescribe the theoretical construction for this research because the theory of a research must be developed from the research itself (Bamberger et al., 2012:301; Bryant and Charmaz, 2008:523).

In a possible summative deduction, triangulation is hereby used for three main purposes in this research, namely, to bolster credibility of the data and research, create a more in-depth picture of the research problem, and to investigate different ways of understanding the research problem.

#### **3.3.1.4 Sampling**

Sampling is taking a portion of a population or whole as representative of that population or whole (Turner, 2020:8). As the just cited author rightly states, in a vast majority of research endeavours, the participation of an entire population of interest is not practically possible. As such, a smaller representative (subset-like) group is relied upon for data collection. 'Representative' in this case means to be typical of a population or to exemplify the characteristics of a population (Kerlinger and Lee, 2000:164-165). Therefore, participants will be carefully sampled from the population within the area covered by the charitable organisations in operating in Mongu district of Western Zambia. Informed decisions will be made about participant involvement, settings of the sample, and actions to be taken in the process so that the sample can be representative (Burgess, 1982; Burgess, 1984).

The importance of sampling in the research process is that it provides the research with a definite focus (Seale et al., 2010:405). Therefore, it is of great importance to define sampling units clearly before choosing cases in order to avoid messy and empirically weak research. Since qualitative research is complex and diverse in nature, it would not be practical to approach the whole process of sampling strictly sequentially and thus plan the whole process before starting. Part of the sampling plan may have to exist in dialogue with field incidents, contingencies, and discoveries in order to have representativeness (Seal et al., 2010:406).

The type of sampling that the researcher will use is purposive sampling because participants will be selected on the basis of their relevance to the research question and concepts that have proven theoretical relevance to the evolving theory (Gibson and Brown, 2009:37-38,

56). Purposive sampling will also allow for detailed exploration and understanding of central themes and puzzles that need to be studied as they are being revealed (Mason, 2002; Patton, 2002). These might include demographic characteristics, specific experiences, behaviours, or roles according to Ritchie and Lewis (2004).

The sampling process will focus on excellent participants from within Mongu area because the context where the research takes place must be acknowledged in order to understand the surrounding dynamics and systems (Schurink, 1998a:281). An excellent participant, according to Bryant and Charmaz (2008:231), is one who has been through, or observed, the experience under investigation. Therefore, the process of selecting participants will focus on permanent residents of Mongu district for at least five (5) years and also senior officials of NGOs that operate in Mongu district of Western Zambia.

In view of the foregoing, the following criteria will be used to identify relevant individuals to participate in the interviews as just discussed:

- i. A permanent resident of Mongu district for at least five (5) years.
- i. A senior official of an NGO (charitable organisation) operating in Mongu district.
- ii. A government official from a line ministry or department that works with NGOs operating in Mongu district.

In addition, the sample should exhibit the following characteristics:

- iii. Participants who give consent that the interview can be audio or video recorded.
- iv. Participants who can express themselves in English directly or through an interpreter.
- v. Gender balance and representative of a cross section of age groups, tribes and culture.

The actual size of the sample will be determined by the stage at which data saturation becomes evident (Borg *et al.*, 1993:101; Parse *et al.*, 1985:18). As such, interviews will be conducted until participants begin to reveal patterns, themes and values already expressed by others in earlier conversations. It is therefore incumbent on the researcher to handle data accurately in order to have correct judgment of the point at which data saturation occurs (Richards, 2009:144; Silverman, 2000:154).



### **3.3.1.5 Pilot Study**

A pilot study can be referred to as a “trying out” or “feasibility study” (Teijlingen and Handley, 2001:1) or, as Fraser *et al.* (2018:261) put it, a precursor to the main study. The researcher will conduct a pilot study in order to determine whether the methods and procedures that he intends to employ in the research process will actually deliver the required data and if the data to be gathered will be a true measure of the subject being studied (Fraser, *et al.*, 2018:261-262; Magnus, 2009:45; Turner, 2005:63). Furthermore, possible barriers such as resistance to recording of interviews can be discovered during the pilot project and attended to (Marshall and Rossman, 2006:79).

The researcher notes with caution that carrying out a pilot study does not make the success of the bigger project obvious, but will definitely increase the probability of the success (Marshall and Rossman, 2011:96; Teijlingen and Handley, 2001:1-2).

Three preliminary interviews will be conducted, one with each of the criteria of participants identified in the previous section (a permanent resident of Mongu for at least five years, senior official of an NGO that operates in Mongu district of Western Zambia, and government official from a line ministry or department that works with NGOs operating in Mongu district). As already indicated under sections 3.2.1.4 (Table 3.1, sub-section 1.3.8) and 3.3.1.1 (Semi-Structured Interviews), the researcher will make use of incremental questions to guide and focus the conversation on the research problem and aim. The structure of expected answers will also suggest how the researcher can provide coding in the answers to the questions and also disclose anticipated links between the questions and the codes.

If the process becomes successful, the researcher will conduct further interviews for the bigger research and the data obtained from the pilot study will also be included with the rest of the research.

### **3.3.2 Data Analysis**

The goal of all the data collection process is to capture quality evidence that translates to rich data analysis and allows for the building of a convincing and credible answer to the research question and problem (Kabir, 2016:202). Insightful research reveals that the research problem, question, and purpose do form a general framework for data analysis, but

the substance must still come from the data themselves, which should be transcribed, coded, and interpreted (Bamberger et al., 2012:272, 314; Gibson and Brown, 2009:6; Sutton and Austin, 2015:227-229).

To perform data analysis, the researcher will first transcribe the recorded interviews verbatim, which means to turn the recordings into written texts (Barbie, 2007:383; Osmer, 2008:55-56; Struwig and Stead, 2001:169). The process will also involve organising the notes of the researcher's participant observation in a fully legible and logical manner of data.

After transcribing, the data will be coded, that is to identify segments of meaning in the data and labelling them with codes, which can be defined as words or short phrases that symbolically assign summative, salient, essence-capturing, and/or evocative attributes for specific portions of language-based or visual data (Linneberg and Korsgaard, 2019:261-265; Saldaña, 2015:3). As such, the coding process will involve gathering together segments from different parts of the data records that are relevant to specific categories (Sapsford and Jupp, 2006:251). As Barbie (2007:384) and Charmaz (2005:210) write, this is an important process in taking an analytical attitude toward data.

The researcher will closely examine the specific segments of data so as to form categories that capture similarities and differences and represent thematic concerns (Gibson and Brown, 2009:133; Marshall and Rossman, 2006:154; Wolcott (1994:24). This will help the researcher to get off the empirical level through fracturing the data, then conceptualising the pattern of a set of empirical indicators within the data as a substantive theory that explains what is happening in the data (Bryant and Charmaz, 2007:256). The process will also enable the researcher to say something through engagement with the data and using it to reflect on the ethical aspects of the subject hereby under investigation.

In order to discipline the researcher's subjectivity to possible biases in this regard, an experienced coder will also code the interview transcriptions independently.

The qualitative data will be interpreted primarily for the purpose of understanding rather than explanation (Bamberger et al., 2012:293). As patterns emerge, the most important themes will be identified. At this stage the researcher will compare and contrast all items of data assigned to the same category and across categories for the purpose of clarifying what the categories that will have emerged mean, as well as identifying sub-categories and relations

among categories (Glaser and Strauss, 1967; Sapsford and Jupp, 2006:253; Strauss and Corbin, 1990). In accordance with Marshall and Rossman (2011:161), the interpretation of data will therefore give meaning and coherence to the themes, patterns, and categories and thereby developing a storyline that makes sense.

In order to establish what the patterns and combinations of data relationships are, Dickoff et al.'s (1968:434-435) survey list of seven questions as listed hereunder will be usefully engaged:

- i. Who is responsible for the activity?
- i. Who is the recipient of this activity?
- ii. What is the contextual reference wherein the activity has taken place?
- iii. What are the techniques, procedures and/or protocol associated with the activity?
- iv. What is the aim of the activity?
- v. What is the source of energy that provides motivation for this activity?
- vi. When will the activity be terminated?

### **3.4 TRUSTWORTHINESS OF THE RESEARCH PROCESS**

Trustworthiness is of utmost importance in any given research process (Guba and Lincoln, 1989). As such, Lincoln and Guba's (1985:294) renown fourfold criterion to ensure trustworthiness of the research process (Korstjens and Moser, 2018:121-122) will guide this study at this stage as outlined hereunder.

**Truth-value:** How can we establish confidence in the truth about the research findings?

**Applicability:** To what extent can the research findings be applicable to other contexts or other respondents?

**Consistency:** Can the research findings be replicated if the inquiry is repeated?

**Neutrality:** To what degree are the research findings determined by the participants' experiences instead of the researcher's biases?

In order to ensure that the above criteria are adhered to, credibility, transferability, dependability, and confirmability will be employed as the best-known corresponding strategies or control measures for trustworthiness in qualitative research (Korstjens and Moser, 2018:121; Krefting, 1991:214 – 222; Lincoln and Guba, 1985:294; Marshall and Rossman, 1995:143 – 148; Polit and Beck, 2007:540).

### 3.4.1 Criteria and strategies to for trustworthiness

Table 2.3 below shows the relationship between the criteria and strategies for trustworthiness in qualitative research according to Lincoln and Guba (1985).

**Table 3.2 – Criteria and Strategies for Trustworthiness (Lincoln & Guba, 1985)**

Strategies	Explanation
Truth-value – Credibility	Inquiry must be conducted in such a manner that the subject will accurately be identified and described.
Applicability – Transferability	One set of findings can be applied to another context through multiple cases, multiple informants, or more than one data-gathering method.
Consistency – Dependability	Accuracy or precision of an instrument or the degree of consistency or agreement between two independently derived sets of findings.
Neutrality – Confirmability	Findings of the study are confirmed by another and data helps confirm the general findings.

The following tables 3.2 to 3.6 are detailed explications of how the above criteria and strategies will be implemented in this research to ensure trustworthiness.

**Table 3.3 – CREDIBILITY**

<b>CRITERIA</b>	<b>APPLICATION</b>
Prolonged and varied experience of the researcher	The researcher currently works as lecturer in practical theology at Auckland Park Theological Seminary in South Africa, has been research coordinator for The University of Barotseland in Mongu district of Western Province in Zambia, and also worked with NGOs in Zambia and Western Province in particular.
Authority of the researcher	The researcher has a doctoral degree, master's degree, and an honours degree in theology from North West University in Potchefstroom, South Africa, where he also trained in qualitative research methodology. He also has a bachelor of theology degree from Auckland Park Theological Seminary in Johannesburg, South Africa.
<p style="text-align: center;">Reflexivity</p> <p>This is a key concept in qualitative research and involves the way in which the researcher comes into terms with and capitalises on the complexities of his or her presence in the research setting in a methodical way (Holliday, 2010:138). Hence the researcher</p>	<p>Field notes to be taken during interviews will indicate personal, methodological, and observational notes.</p> <p>The researcher's background, that is his authority and prolonged and varied experience, will be taken into consideration because it informs the framework from which he will organise, study and analyse the</p>

<p>becomes the research instrument par excellence as he uses his presence to effect revealing change (Hammersley and Atkinson, 1983:18; Osmer, 2008:58; Sapsford and Jupp, 2009:256-257).</p>	<p>research findings (Holliday, 2010:127; Krefting, 1991:220; Toma, 2006:414)</p>
<p style="text-align: center;"><b>Triangulation</b></p> <p>Crucial to protecting credibility and involves deliberate attempts to confirm, elaborate, and disconfirm facts and interpretations through reference to multiple data sources and multiple methods of data collection (Bamberger et al., 2012:139,298; Gibson and Brown, 2009:58-59; Krefting, 1991:218 Nightingale, 2020:477).</p>	<p>In this case the different sources of data are scheduled interviews with different participants at different times in their geographical locations or naturalistic settings (Lincoln and Guba, 1985:306) and literature review.</p> <p>Data collecting methods will include in-depth semi-structured interviews with qualifying informants, researcher's observation/field notes, and literature control study (Bamberger et al., 2012:301; Bryant and Charmaz, 2008:523; DeJonckheere and Vaughn, 2019:2).</p>
<p style="text-align: center;"><b>Peer review</b></p> <p>This is critical review by colleagues and external experts to bolster credibility and prevent researcher biasness with regard to data analysis and the bigger research process (Bamberger et al., 2012:138,300; Krefting, 1991:219).</p>	<p>In this case an experienced researcher from the University of South Bohemia in České Budejovice supervises the project and the raw data will also be made available for independent coding by an experienced coder.</p>
<p style="text-align: center;"><b>Member-checking</b></p>	<p>A provisional write-up of the interviews will be presented to selected participants representing relevant informants and</p>

<p>The review of data and interpretations by participants representing the relevant stakeholders in order to verify the researcher's findings (Bamberger et al., 2012:139).</p>	<p>stakeholders to validate the reasonableness of the interpretations drawn from the data (Bamberger et al., 2012:299-300; Geertz, 1973:29; Lincoln and Guba, 1985). These participants will be charged with the task of confirming or disconfirming the sufficiency and accuracy of the data from the selections they review so that corrections will be made if need be.</p>
<p style="text-align: center;">Structural coherence</p> <p>Structural coherence means that there has to be consistency between the data and the interpretation thereof, even if there happens to be apparent contradictions among the data, so long such contradictions can be interpreted by the data themselves (Korstjens and Moser, 2018:121-122; Krefling, 1991:220).</p>	<p>The researcher will follow the stipulated methodological framework and focus on the ethical evaluation of philanthropic strategies employed by charitable organisations operating in Mongu district of Western Zambia in order to maintain structural coherence.</p>
<p style="text-align: center;">Interview techniques</p>	<p>Multiple semi-structured interviews will be conducted with different participants until data saturations occur (Borg <i>et al.</i>, 1993:101; Parse <i>et al.</i>, 1985:18). The guidelines for interviewing stipulated in 2.3.1.4 above will be applied.</p>

**Table 3.4 – TRANSFERABILITY**

CRITERIA	APPLICATION
<p>Purposive sampling</p> <p>This is based on the theoretical notion of selecting participants on the basis of their relevance to the research question being posed (Gibson and Brown, 2009:37-38). Qualitative samples should always include processes of purposeful selection according to the specific parameters identified in the study and should be evaluated according to certain demographic factors (Bryant and Charmaz, 2008:234; Turner, 2020:8).</p>	<p>Purposive sampling of participants who qualify according to the following requirements: (1) A senior resident of Mongu district for at least five years, (2) a senior official of an NGO that operates in Mongu district, and (3) a government official from line ministry or department that works with NGOs operating in Mongu district. No fixed sample size will be determined beforehand, as interviews will be conducted until the data is saturated (Borg <i>et al.</i>, 1993:101; Parse, <i>et al.</i>, 1985:18).</p>
<p>Thick description</p> <p>This is a key concept in qualitative research that involves the production of rich descriptions that outline the contexts of people’s actions and practices so that they become intelligible in their own terms (Geertz, 1973; Gibson and Brown, 2009:8). As Conrad and Serlin (2006:415) write, thick description will also generally enlighten theory and practice.</p>	<p>Detailed descriptions of the demographic particulars of participants, research methodology and findings, and direct citations from interviews with participants will thus be given. Holliday (2010:10) notes that a major theme of thick description is the separation of data, discursive commentary, and argument. Hence the researcher will provide a thick description of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district as well interpret such data against the rest of other data in the research as illustrated in figure 2.1 below. In this way, the thick description will</p>



	also help to come up with the corresponding disciplinary base and its literature from where particular concepts, models, and theories that structure the study are found (Anfara and Mertz, 2006:23).
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**Table 3.5 – DEPENDABILITY**

<b>CRITERIA</b>	<b>APPLICATION</b>
Coding and scrutiny of the research	An independent expert will also code that data and the researcher will adhere to continued scrutiny of the study by experienced researchers as well as literature study (Bamberger et al., 2012:138).
Thick description of research methods	A thick step-by-step description of research method, data collection, data analysis, and data interpretation will be presented to ascertain the quality of the decisions made in the research process (Bamberger et al., 2012:138; Krefting, 1991:221).
Triangulation	Triangulation will include multiple semi-structured interviews with qualifying participants as stipulated in 3.3.1.3, field notes of the researcher and literature control.
Stepwise replication	The thick description of the research methods and findings will allow for replication of the study and its results if it were to be repeated with comparable respondents in the same or similar context.
Peer review	Critical review of the research methods and findings by colleagues and external experts will bolster the

	trustworthiness of the study (Bamberger et al., 2012:138).
Coding and independent coder The most important thing researchers must do is to systematically record what they see, usually in field notes, but sometimes on tape or film, because whatever is not recorded is lost (Seale et al., 2010:213-214)	The researcher will, therefore, document the coding procedure and the discussion with the independent coder.

**Table 3.6 – CONFIRMABILITY**

CRITERIA	APPLICATION
Confirmability audit The researcher must make available an audit trail so that interpretations, recommendations, and conclusions made can be traced back to their sources and proven if they are supported by evidence from the inquiry itself (Houser, 2012:467)	An audit trail will be made available in terms of the following: <ul style="list-style-type: none"> <li>• The research proposal.</li> <li>• Record of raw data, transcribed interviews, and field notes.</li> <li>• Record of data preparation and analysis product.</li> <li>• Records of data reconstruction</li> <li>• Process notes.</li> </ul>

### **3.5 ETHICAL CONSIDERATIONS**

The researcher acknowledges that research ethics has become an area of much greater concern in recent years with most universities, research funders, and professional associations demanding that research, especially such as involves human subjects, receives ethical approval before it is carried out (Sapsford and Jupp, 2006:293-294; Weinbaum *et al.*, 2019:1, 69-70). As such, the researcher will strictly adhere to the ethical requirements for qualitative research as set out by the University of South Bohemia in České Budejovice and conduct the research in a way that is ethical and feasible (Marshall and Rossman, 2006:82). As a rule of the thumb, the researcher will, in accordance with Sapsford and Jupp (2006:293), have to make ethical decisions throughout the study, not just at the outset.

Ethics in social research mainly revolve around voluntary participation, no harm to participants, and confidentiality and anonymity (Bamberger *et al.*, 2012:170; Barbie, 2007:62; Gelling, 2020:1019; Ray, 2006:323). According to Hammersley (1998), Punch (1994), Seale *et al.* (2010:221-222, and Thorne (1998), some of the generally accepted ethical principles that guide social research are codes and consent, confidentiality, and trust. Therefore, the researcher will uphold scientific standards, comply with the law, and avoid social and personal harm to participants (Dench *et al.*, 2004; Sapsford and Jupp, 2006:292-294).

As such, in conducting this research, the researcher will adhere to the following ethical norms:

#### **3.5.1 Informed Consent**

The researcher will inform the participant about the purpose of the research and explain to them that they are free to decide whether or not to participate in the interview, including the right to withdraw from the interview after starting if they so feel. This is necessary because persons can be injured in ways researchers cannot anticipate nor compensate for afterwards (Erikson, 1967; Weinbaum *et al.*, 2019:1)). Therefore, informed consent will be obtained from each individual participant and a sample of the consent form will be attached to the empirical research as an appendix.

### **3.5.2 Confidentiality and Anonymity**

All data in this study will be treated with appropriate confidentiality and anonymity. The researcher recognises that this can be problematic in some cases where some societies or donor organisations legally accept that interviewees' names and titles be given in the appendix. This, however, does not rule out the issue of confidentiality in view of voluntary participation and informed consent from the outset. The researcher will, in accordance with Sheridan and Kisor (2000:122), assure the research participants that the information that they share will be used only for the research purpose and will not be made available anywhere else without their informed consent.

Confidentiality and anonymity hereby also entail handling of data in the research process in a way or ways that do not expose the participants (Barbie and Mouton, 2001:523; Boeije, 2010:46) because participants have the right to privacy according to Walsh (2001:70). The researcher will, therefore, assure the participants of their right to privacy by guaranteeing them confidentiality in this regard as well. For instance, codes composed of alphabet letters and numerals are to be used for direct citations of participants in the place of their names, in order to maintain the participants' right to privacy during and after the study (Punch, 1998:175).

### **3.5.3 Respect and Trust**

Respect in this regard refers to the avoidance of social and personal harm. According to Hugman (2010:152), there are limitations on the extents to which any "need to know" creates a "right to know". Trust in this case refers to the relationship between the researcher and the participants. It also includes the researcher's responsibility not to spoil the field for others in the sense that potential research subjects become reluctant to research. Hence trust also applies to the report of the discursive practices defining the standards for presenting both the researcher and the work as trustworthy.

Therefore, the researcher will rely on his existing relationship with the people of Mongu to enhance respect and trust with the participants.

### **3.5.4 Honest Disclosure of Research findings**

The research findings will be reported accurately and honestly. Reporting and dissemination of research findings will be carried out in a responsible manner. Member checking and peer

review during the data collection process will also serve as prelude to ensuring honest disclosure of the research findings.

### **3.5.5 Qualitative Research Report**

The qualitative research report will in this case not only reveal the findings, but also show the workings of how the findings were arrived at (Holliday, 2010:42-43). As it were, reports based on qualitative data should reveal the complexity of the phenomenon or program being studied in terms of multiple perspectives, overlapping contexts, and various conditionalities, criteria, and values. Bamberger et al. (2012:316-317) write that these detailed and multifaceted descriptions are necessary to present sufficient data and show the evidentiary basis for the findings, avoid oversimplification in representation of phenomena or programs, and promote valid findings. As Atkinson (1990:7) also writes, the writing of the research should construct its own reality.

Direct citations of the participants will be used where necessary in order to understand the particular, rather than merely explain the general (Bamberger et al., 2012:317). Such details will help bring to the fore the emic view of how the participants as individuals describe their lived experiences of the phenomenon under study. According to Taylor and Bogdan (1984:144) the “emic view” is a detailed description of how a participant reflects his or her culture, beliefs, values, and experiences. As such, the qualitative research report will endeavour to represent all details required to reveal the complexity of the phenomenon regarding the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district of Western Zambia.

### **3.6 CONCLUDING PERSPECTIVES ON CHAPTER 3**

The research design, method, as well as all related techniques and procedures have been discussed in details with regard to the subject under study. Strategies to ensure trustworthiness of the research process and ethical aspects have received particular attention as well. The qualitative research report will finally elucidate the complexity of the phenomenon being studied and give an emic view of the research participants with regard to the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu.

The next chapter will present the findings from the empirical research with regard to the subject under investigation in accordance with the research design, method, and other related techniques and procedures described in this chapter.

## CHAPTER 4

### RESEARCH RESULTS AND ETHICAL EVALUATION

#### 4.1 INTRODUCTION

This chapter will, in accordance with the aim of the study, focus on an empirical investigation of the ethical aspects of charitable organisations in Mongu district of Western Zambia, whereby the praxis can be observed and explained. As earlier stated, the study aims to evaluate the ethical aspects of philanthropic strategies employed by the charitable organisations operating in Mongu. Semi-structured interviews were conducted with government officials of the concerned sectors, leading officials of concerned NGOs, and senior citizens of Mongu for at least five years, among whom were women and youths. The interviews with government and NGO officials were conducted as one-on-one, face-to-face conversations, while those with senior citizens took the form of both one-on-one and focus group face-to-face discussions.

The researcher will thus give a detailed discussion and interpretation of the research findings from the interviews conducted with participants in order to reveal the ethical aspects implicit in the philanthropic strategies as intended by the structure of the interview questions in the research design (Section 3.2.1.4). The implicit ethical aspects will be evaluated against relevant ethical theories and later (in chapter 5) be discussed together with theoretical concepts from the wider research in order to bridge the perceived gap between theory and practice (Payne, 2014:4) in the formulation of a new praxis and model to guide the evaluation of philanthropic strategies by charitable organisations.

The research is hereby conducted in its contextual uniqueness and will, therefore, help the local community and other stakeholders to discover perspectives that could be descriptive-evidence of the ethical aspects at stake in the execution of philanthropic strategies employed by charitable organisations and thus come up with a model that aspires to evaluate such aspects as discovered. According to Burns and Grove (2009:29), this will also assist to understand similar phenomena in other contexts.

Interpretation in this respect will be for the purpose of understanding, rather than explanation. According to Bamberger *et al.* (2012:293), a deep contextual understanding of the particular

phenomenon is the goal of qualitative inquiry. It is, therefore, not merely an abstract understanding, but such, as is “deeply, personally felt” (Bamberger *et al.*, 2012:293). Struwig and Stead (2001:552) rightly observe that interpretation is the most important part in research. As such, this section will concentrate on providing a detailed analysis of the data collected by presenting sufficient and accurate thick descriptions of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu. Personal experiences of the respondents and field observations of the researcher will equally form part of the data analysis and presentation. The method of operation will be discussed first, in order to ensure transparency, and then the research results will be explored. Theory regarding sampling (3.3.1.4), pilot study (3.3.1.5), and semi-structured interviews (3.3.1.1) have already been discussed. As such, only the results of the semi-structured interviews will be presented in this chapter.

## **4.2 RESULTS OF THE SEMI-STRUCTURED INTERVIEWS**

The results of the semi-structured interviews with regards to the ethical aspects of philanthropic strategies of NGOs operating in Mongu are hereby presented in details.

### **4.2.1 Results of the pilot study**

A pilot study was conducted for the purpose of testing the relevance of the semi-structured interview guide and respective questions, as well as data collection methods and to reveal whether data from the pilot study interview could be part of the research findings as earlier stipulated (Section 3.3.1.5). The researcher found no problem with the responses from participants, although he had to deal wisely with the abruptness of the research questions during the conversations, which by default compelled him to add the some necessary preceding words, in order to have a natural front and flow of the conversation (Berg, 2004:110).

The questions stimulated free-flowing conversations and allowed participants the opportunity to move in unanticipated directions (Bamberger *et al.*, 2012:308). In other words, the



questions were relevant to the purpose of the interview and it also allowed for productive digressions.

As such, both the research questions and data collection methods were found to be suitable and relevant, and the data gathered from the pilot study has therefore been integrated with the rest of the research findings.

#### **4.2.2 Discussion of the sample**

The sample of participants was purposively chosen according to the criteria described in paragraph 2.3.1.5. As Gibson and Brown (2009:56) write, participants were selected on the basis of their relevance to the research. The following criteria were thus observed:

- vi. A permanent resident of Mongu district for at least five (5) years.
- vii. A senior official of an NGO (charitable organisation) operating in Mongu district.
- viii. A government official from a line ministry or department that works with NGOs operating in Mongu district.

In addition, the sample should exhibit the following characteristics:

- ix. Participants who give consent that the interview can be audio recorded.
- x. Participants who could express themselves in English directly or through an interpreter.
- xi. Gender balance and representative of a cross section of age groups, tribes and culture because Mongu has people from other tribes and cultures as well.

The actual size of the sample was determined by the stage at which data saturation became evident (Borg *et al.*, 1993:101; Parse *et al.*, 1985:18). As such, interviews were conducted until participants began to reveal patterns, themes and values already expressed by others in earlier conversations. It was, therefore, incumbent on the researcher to handle data accurately in order to have correct judgment of the point at which data saturation occurred (Richards, 2009:144; Silverman, 2000:154).

#### **4.2.3 Representativeness of participants**

Both the researcher and independent coder agreed that the participants were representative, which gave a balanced interpretation of the case under study. Table 4.1 provides a synopsis

of the representation of a total of twenty-three (23) participants from the three, focus group discussions (FDGs) facilitated by the researcher personally.

**Table 4.1 Representativeness of participants**

<b>One-on-one Face-to-face Interviews</b>				
Sex	Government Officials	NGO Officials	Community Representatives	Young People
M	4	9	2	1
F	3	4	0	1
<b>Total</b>		<b>21</b>		
<b>Focus Group Discussion 1</b>				
Sex	Government Officials	NGO Officials	Community Representatives	Young People
M	0	3	0	3
F	0	3	0	3
<b>Total</b>		<b>6</b>		
<b>Focus Group Discussion 2</b>				
Sex	Government Officials	NGO Officials	Community Representatives	Young People
M	0	0	4	2
F	0	0	3	0
<b>Total</b>		<b>7</b>		
<b>Group Discussion Focus 3</b>				
Sex	Government Officials	NGO Officials	Community Representatives	Young People
M	0	0	4	4
F	0	0	4	4

<b>Total</b>		<b>8</b>		
<b>Focus Group Discussion 4</b>				
Sex	Government Officials	NGO Officials	Community Representatives	Young People
M	0	0	6	2
F	0	0	3	1
<b>Total</b>		<b>9</b>		
<b>Total number of participants interviewed</b>			<b>51</b>	

The following comments are necessary for understanding what is happening in the sample:

- i. Only concerned and senior government officials were interviewed.
- ii. Most of the targeted Mongu residents were not comfortable to be interviewed alone and rather opted to be interviewed as groups. Hence the researcher had to conduct focus group interviews to cater for them in a way with which they were most comfortable.

### **4.3 ANALYSING THE INTERVIEWS**

Data collection was the sole responsibility of the researcher, and all interviews were audio recorded using the researcher's phone as a recording device and then saved on the researcher's laptop computer. Written consent to participate in the interviews and for the interviews to be recorded were obtained from all participants to ensure that the interviews with their emotions were fully captured.

The researcher then personally transcribed the focus group interviews verbatim. In order to ensure trustworthiness of the research findings, an independent coder, who has a doctoral degree in the field of practical theology, coded the role data transcriptions separately. Thereafter, the researcher and the independent coder compared notes so as to avoid prejudices that would influence the researcher's judgements otherwise, concerning the research findings. This is also an important aspect of peer review.

#### **4.3.1 Responses from the interviews (both individual and focus group)**

Responses from all the individual and focus group interviews have been synthesised and divided into four (4) main themes, with thirty-five (30) subthemes as illustrated in table 4.2. Implicit ethical aspects have been listed, in no particular order, against the respective emergent themes and subthemes. As much as possible, the ethical aspects are such as those connected to the structure of expected answers to the main interview question and subsequent incremental questions provided earlier in the research design (Section 3.2.1.4).

In order to maintain the participants' right to privacy during and after the research process (Punch, 1998:175), codes comprising of alphabet letters and numerals have been used for direct citations of participants in place of their names. For example, FG1 P9 would be used for a direct citation from participant number nine in focus group number one without disclosing the actual name.

**Table 4.2 Synopsis of themes and sub-themes resulting from a synthesis of all the interviews conducted**

S/N	Main Themes	Sub-themes	Ethical Implications <i>(In no particular order)</i>
1	<b>Reasons for failure by charitable organisations in Mongu to make positive impact</b>	1.1 Reasons related to the socio-cultural aspects of Mongu people 1.1.1 Indigenous people not supportive to their own land and people 1.1.2 Cultural aspects of the local people and traditional authorities 1.1.3 Tribalism 1.2 Reasons related to operational praxis 1.2.1 Lack of continuity and consistency 1.2.2 Personal gain and misappropriation of resources 1.2.3 Duplicity 1.2.4 Overdependence on external support. 1.2.5 Lack of monitoring and evaluation 1.2.6 Lack of skills and understanding of philanthropic strategies. 1.2.7 Corruption 1.2.8 Tension with government / political influence 1.2.9 Uncoordinated and insufficient efforts	<ul style="list-style-type: none"> <li>• Ethical reflection with universal ethical principles</li> <li>• Social justice</li> <li>• Dignity and worth of the human person</li> <li>• Respect for diversities</li> <li>• Good practice</li> <li>• Practical moral reasoning</li> <li>• Equality and fairness / equal regard</li> <li>• Transparency and accountability</li> <li>• Integrity (honest &amp; truthfulness)</li> <li>• Self-determination</li> <li>• Sustainability</li> <li>• Ethical dilemmas</li> </ul>
2	<b>Real pressing problems and felt needs of the people</b>	2.1 Poverty 2.2 Lack of employment and	<ul style="list-style-type: none"> <li>• Giving for noble causes (e.g. alleviate poverty, heal injustices;</li> </ul>

		<p>empowerment</p> <p>2.3 Transport and communication</p> <p>2.4 Education</p> <p>2.5 Health</p> <p>2.6 Climate change</p>	<p>overcome unjust policies)</p> <ul style="list-style-type: none"> <li>• Social justice</li> <li>• Ethical reflection with universal ethical principles</li> <li>• Deserving and undeserving poor</li> </ul>
<b>3</b>	<b>Strategies employed by charitable organisations</b>	<p>3.1 Networking with government sectors and other stakeholders</p> <p>3.2 Community sensitisation</p> <p>3.2.1 Training (capacity building) workshops</p> <p>3.3 Connection with churches</p> <p>3.4 Appeal to spirituality</p>	<ul style="list-style-type: none"> <li>• Ethical reflection with universal ethical principles</li> <li>• Good practice</li> <li>• Practical moral reasoning</li> </ul>
<b>4</b>	<b>Expectations regarding charitable organisations operating in Mongu</b>	<p>4.1 NGOs should uplift living standards of local people</p> <p>4.2 NGOs should supplement government efforts</p> <p>4.3 The work of NGOs should be well coordinated among themselves</p> <p>4.4 Works of NGOs to cover both rural and urban areas</p> <p>4.5 Monitoring &amp; evaluation of NGOs</p> <p>4.6 NGOs to be practical and true</p> <p>4.7 Help vulnerable member of the community</p> <p>4.8 Community research</p> <p>4.9 Capacity building</p>	<ul style="list-style-type: none"> <li>• Ethical reflection with universal ethical principles</li> <li>• Social justice</li> <li>• Integrity</li> <li>• Good practice</li> <li>• Deserving and undeserving poor</li> <li>• Transparency and accountability</li> </ul>

### **4.3.2 Description of the results**

The identified themes and subthemes as shown in table 4.2 above will now be discussed in details. The themes are a result of an analysis and synthesis of all the three phenomenological semi-structured interviews personally conducted by the researcher and his personal observations as recorded in his field notes. Direct citations from the interview transcriptions are provided to motivate and illustrate the themes that have emerged. The citations have been indicated in italics. For ethical purposes, the researcher will maintain utmost confidentiality and anonymity, even as all the participants chose to remain anonymous.

Most of the interviews were conducted in English, but some participants, especially in the first and last two focus group discussion (FGD1, FGD3, and FGD4) preferred to express themselves freely in their native language (Silozi), which is also the researcher's native language too. As such, he could understand them perfectly well either in Silozi or English. For credibility and academic purposes, however, someone from among the participants themselves had to translate what was said in Silozi into English. Most of the participants who spoke in their vernacular also understood enough of the English language to know whether the translator said what they said or not. It is not uncommon for people to understand a foreign language better than how they can actually express themselves in that language.

The researcher recorded and transcribed the discussions in both English and Silozi, but only the English version will be used for the direct citations in this document, for academic purposes. Where a vernacular term is employed, the English translation has been provided too.

Only the interviews conducted by the researcher will be discussed at this stage, conclusions will be made later.

### **4.3.3 Theme 1: Reasons for failure by charitable organisations in Mongu to make positive impact**

An overwhelming view is held by all participants in the research that the charitable organisations (NGOs) operating in Mongu have failed to make any positive impact in the community so far. The participants cited to several reasons for the failure, some of which

are related to the social and cultural characteristics of the people of Mongu, while other are related to the operational praxis of the NGOs themselves. Above all, most of the reasons cited border on sensitive ethical issues regarding the philanthropic strategies employed by charitable organisations that operate in Mongu district, and this calls for ethical reflection with universal ethical principles. In an interview, one of the participants lamented that NGOs were just using people to their own advantage (FGD4 P4: *“They are just using us to enrich themselves. Nothing is happening!”*). Outrightly, the dignity and worth of the human person is violated in this case! Several other participants expressed sentiments that raise questions regarding the ethicality of charitable organisations in Mongu as hereafter sampled out.

- i. P2: *“Unfortunately, the positive impacts are not seen... You don’t see any success!” Success stories if they’re there they’re very few... That’s what gives the NGOs a negative image.”*
- i. P1: *“So, again in that line a person may say that NGOs like in Mongu they’ve never been any impact other than themselves that are working in that NGO sector... Yeah, otherwise, eeh, we have, we have a few NGOs, but the impact is not felt. [We really don’t know what they are doing!]. Unless that maybe I’m speaking from the ignorance point of view that I may not be aware of what they are doing, but I think if you have an impact in society, someone, everyone should be able to see the impact. Even if you don’t talk about it, it should be able to to – it should speak for itself, it should speak for itself.*
- ii. P18: *“I’ve worked with some of them, and I’ve observed some of them and you still find the same problems are there. I mean five years with these projects you that nothing has changed!.. Some, NGOs in most cases maybe people don’t even know what they offer.”*
- iii. FGD3 P7: *“It’s even hard to point at what they are doing.”*

Some of the NGOs are not even visible to the community in terms of their being and activities.

- iv. P10: *“Aah, I have to find out where are these NGOs because I don’t know them...”*
- v. P11: *“But you can have these organisations like you say about 76 or so, but whe you look at their visibility they’re just existing on papers. So, that has also contributed to to, you know, few organisations that are providing charity work in Western Province,*



*generally.”*

#### **4.3.3.1 Theme 1.1: Reasons related to social-cultural aspects of Mongu people**

Reasons related to the social-cultural aspects of the people of Mongu include local indigenous people not being supportive to their own land and people in the execution of philanthropic strategies by charitable organisations operating in the town. Some participants highlighted particular subversive aspects such as ignorance, greed, jealous, and tribalism as having contributed to the failure by the charities to impact the community positively. To some extent, one might rationalise that it is due to such reasons that even some of the well-to-do indigenous Barotse people of Mongu opted to move or at least invest outside Mongu. The question arises as to whether or not culture has influence on philanthropy and development. Such reasons as categorised under this theme seriously undermine ethical aspects such as good practice, practical moral reasoning (phronesis), and respect for diversities.

##### **a) Theme 1.1.1 Indigenous people not supportive to their own land and people**

The participants observed that the indigenous local people of Mongu were not supportive to their own people, even in the execution of philanthropic strategies by charitable organisations. One of the participants alluded to the fact some well-to-do native people would actually rather move out to of their own land and invest outside.

- i. *P3: - Maybe, it's just an appeal to these organisation – the people on the ground, they're the ones that don't do the right thing... We can't say everyone comes from Lusaka, Copperbelt, or Southern Province, some of these people are the people we live with, the Barotse, the indigenous people of Western. They're there to disadvantage their own people, their own kids. So, I think for me it's just my appeal. These people in the offices of these organisations.*
- ii. *FGD1 P1: These are some of the things that we're facing, you know as a province. The people that, indigenous people of the Barotse here, Western Province they're the ones again who are disadvantaging their own people. So, these are are some of the challenges that we're facing as a province.*
- iii. *FGD1 P5: Aah, I can just add that here in Western Province, me I'm from, ah the other side I'm a Bemba, then father" side Lozi. But I've seen different from here, the way people live here it's different from that side. The problem here it's ignorance and*

*jealousy! As they said these guys, the problem is that there's people who have money, but they can't release that money or to help people.*

- iv. *FGD1 P4: ... Yeah, I think I think they've said a lot, but I may just say we have people here who have money, who can bring change in Western Province, but they decided to move out.*

#### **b) Theme 1.1.2 Cultural aspects of the local people and traditional authorities**

Some participants also observed that the working culture of the traditional authorities (Barotse Royal Establishment – BRE) was rather inhibiting to the smooth operation of NGOs in Mongu. In one of the participants comparatively indicated that this was different from the natural practice in the rest of the regions in Zambia and hence other regions were developing faster than Barotseland.

- v. *P12: Ummm – to some extent there's the cultural aspect of Mongu to be specific, there's aah, I wouldn't say there's so much of the government helping as compared to – how do I say it? Like there's hindrance by the – nibachani aba (what do you call these guys? The kingdom, yes, BRE, Yes, that aspect. So, like, I'd, ok my, my experience, I've seen that, ummm, there's a lot of protocol to be observed in this place. So, even NGOs are not expanding as much because before you do anything you first have to go there, compared to government offices, which is just a straightforward process. So, I think that's the major hindrance for me. The cultural aspect.*
- vi. *P11: Even charitable organisations here in Mongu, ummm... I don't know, maybe it's just the culture or, but again there're quite a lot of factors that could have contributed to the, you know, the poor, you know, working culture of charity work in Mongu district.*

According to one participant, it is also possible that some charitable organisation failed to make impact in Mongu because they worked outside the confines of the local people's culture.

- vii. *FGD2 P1: I also think that NGOs especially here in Africa, they don't pay much attention to our culture, our cultural norms and everything that pertains to our traditions. So, somehow, they seem to contradict, they seem to contradict certain cultural norms. So, I feel they should try to work within the confines of culture, that's the certain type of culture that they find in the area where they operate.*

### **c) Theme 1.1.3 Tribalism**

Africa in general has faced problems of getting people with different tribal, ethnic, cultural, and religious backgrounds to live together in peace and harmony in a just, participatory, and sustainable society (Adeyemo, 2006:1425). Most of the participants interviewed by the researcher mentioned tribalism as a negative factor that hindered smooth progress of the charitable organisations. Tribalism is a violation of fundamental human rights as it results in unequal opportunities in critical human developmental aspects like education and employment, lack of cooperation among members of the local communities, as well as unfair treatment before the law. For poor people to effectively penetrate the NGO structures and get help, they need to find a way to balance “self-help and mutual help” and tribalism can be a big threat in this regard. Poor people will have to consider options like co-operatives as a way to pull their little resources together in order to promote their common welfare.

- i. *FGD1 P5: “We’re part of Zambia, but you find that there’s this burning issue of tribal lines... You find that we’re not, we’re not, as citizens we’re not getting that equal, aah, equal – benefits with other provinces, compared to other provinces. What you’re here, I think you’ve gone round Zambia – Comparing the way Western Province and other provinces, you’ll agree with me, we’re very far behind (P2: And isolated), in terms of development.”*
- i. *FGD4 P1: “... Then ah you find that the people that are being picked for jobs by these NGOs, ah you find that they’re people from different provinces... I don’t know if you can call it tribalism or something.”*

### **4.3.3.2 Theme 1.2 Reasons related to operational praxis.**

The following reasons as provided in the responses by the participants, are related to the operational praxis of charitable organisations in Mongu.

#### **a) Theme 1.2.1 Lack of continuity / Sustainability**

Most participants seem to realise that continuity is an integral part of success and sustainability as they cite lack of continuity as a major reason for failure by charitable organisations in Mongu to make positive impact in the community. The activities and efforts of charitable organisations in Mongu are seen to be disjointed and short-lived, thus unsustainable and without impact on the community. Sustainability is the maintenance and

continuance of economic and social development projects in various communities (Abiche, 2004:27). Therefore, sustainability of any community project also inextricably depends on community participation in the project planning, implementation, and decision-making. Good practice as an ethical norm is at stake in this case too. During the interviews, one of the participants elaborated explicitly on this aspect and several others echoed similar sentiments. This appeals to ethical aspects such as good practice.

- i. P13: *“I also noticed changes, there new faces from time to time. Some people go and others come in... I noticed that there are few people who live here permanently and are always active here... So, whatever we do, we do it with proportionate, fare, symmetrical, local development towards sustainability. Basically, what we do, after we’re gone the result should be well aligned, so well aligned with the local systems that the people should be able to work with it sustainably and it should be so well integrated into the local system because these are things of the local society. It should be in the fibres of the society so that it will continue being utilised and being developed by the local people...”*
- ii. P10: *“Aah, but the other thing I see is that most of these things are short term. Uhmm, they’re here for not two years or three years and not much more than that and then they’re gone. Then another group maybe come on and then takes the, not so much like takes the place and they continue or maybe do things differently than the last group dis and there’s not continuity.”*
- iii. P5: *“Sometimes you find that when they come, maybe 2 to 3 years. After that again another NGO again will come... Ehe, so they’re doing, but let me just say... hm! They’re doing it but not really to, for fully scaling up to, to to further like in all the areas.”*
- iv. P11: *“But as a result, you find today you train this on, tomorrow they say they have resigned. Again, you bring someone on board then they stay maybe two to four, two years or so then they disappear again. So, there’s no sustainability in terms of charity work, especially in the, eh in the province.”*

#### **b) Theme 1.2.2: Personal gain and misappropriation of resources**

The ethicality of philanthropic strategies by NGOs in Mongu was compromised by the self-centered actions of NGO officials that were aimed at improving their own economic status.

The participants described the aspirations of the different roles players to achieve personal gain or individual agenda as a reason for the failure of NGOs with regard to ethical philanthropy. In understanding these destructive actions and aspirations one needs to note that the lack of good planning, leadership and understanding of philanthropic strategies could greatly have contributed to a situation where those entrusted with donor rather used it for themselves that channel it to the rightful end user. A lack of strong leadership and a clear direction especially in conditions of great poverty and needs might further motivate people to “take” what they can. Critical ethical aspects such as social justice, equality and fairness, as well as transparency and accountability are seriously at stake in this case.

- i. P1: *“Those that are championing NGOship have become so greedy or maybe they’re using the name of NGOs to to to find max, to to put food on their table!”*
- ii. FGD2 P2: *“There are also challenges where you find that NGOs release things to give to people who are suffering, but you find that again those very NGO officer they’re the ones who get those things meant for the poor.”*
- iii. P2: *“... and there’s a general feeling... that the money which they get from the donors, so, it’s not really ploughed into the communities in which they’re supposed to work. That money is diverted to their personal interests. So, whereas the economy of the people looks the same or deteriorates, the personal economies of the heads of those, those NGOs seem to improve. That’s what brings a bad name on the NGOs, NGOs. They don’t seem to deliver!”*
- iv. P6: *“So, we abuse the non-governmental organisation in a pretext because we want to gain something.”*
- v. P11: *“I’ll give you a scenario whereby a donor comes where they enter through at national level. Then they’ll feel like, okay, I want to do this stuff to support, to support people who have got such problem, depending on their interest, someone will end up diverting resources to their provinces, just to make sure that their provinces develop. We’ve had quite a number of such issues whereby, you know even sometimes humanitarian comes you know there are these funds for so so so, but sometimes you find that money is diverted to another area.”*

An opinion is held by some participants that NGOs that get money from outside the country are diverting the help to their own personal interests, while local NGOs struggled to get help, even when their intentions were genuine.

- vi. P6: *“But the worst kind of NGO operatives that we have seen are those that are getting help outside the country, which is coming in this country. It’s not going to the recipients – the people that it is meant for. It is coming to me... But for the local ones, it’s a, it’s a sorry sight. They struggle to get help. Yeah, they struggle to get help, even though their intentions are genuine, but I think sourcing of funds has been a problem.”*
- vii. FGD1 P2: *“But if I tell, I tell you today that that people who are getting that bursaries to go to UNZA to study, they’re people who are coming from, [actually the father who is rich] is the one is taken to that organisation, when actually that child is going to be employed he’ll be paying back the money, leaving these youths in Western Province here who doesn’t have sponsorship crying for that bursary.”*

### **c) Theme 1.2.3: Duplicity**

Uncoordinated philanthropic efforts by NGOs are most likely to bring about duplicity of activities to either same people or in same place, or both. In this case, it then implies helping the *nearest* instead of the *neediest*, which is unethical because the nearest is not always the neediest. This also is inimical to good practice and an ethical question of the deserving and undeserving poor hereby arises. Both NGO and non-NGO officials who willingly participated in the interviews alluded to the fact that there was duplicity of philanthropic activities in Mongu due to lack of coordination among the NGOs themselves.

- i. P18: *“One of the biggest problems I’ve always had is there’s duplicity, I don’t know if that’s the correct term. You will find that there’s this lack of coordination, where you find two, three, four NGOs basically doing the same thing, and so with little impact. So, you think that if they were well coordinated, then we don’t have to have five, six, NGOs, three, NGOs, four NGOs doing the same thing. It’s duplicated effort, yeah.”*
- ii. P4: *“And also, for me I feel like, for instance if we go in one community and we’re all assisting the same children and others somewhere else are not being assisted because we’re all concentrated on one area, then we’re doing a disservice to other people who need the service.”*

- iii. FGD3 P6: *“I think they must focus on those people who really need help. You find that they’re supporting those who already have support somewhere else.”*

Another form of duplicity exhibited by the operational praxis of charitable organisations in Mongu is concentrating in the same areas. Most of the NGOs focus on the same areas, especially the more accessible urbanised areas while the far flanged remote areas remain neglected.

- iv. P5: *“I’m saying that most NGOs they’re mostly, ehm, focusing in urban areas. In rural areas it’s very, they’re not really there. There’re few NGOs which reach in rural areas.”*
- v. FGD3 P7: *“I think their areas of focus should not only be urban areas, but also rural areas... it should be balanced.”*
- vi. P7: *“They’re not all that spread across the district. They’re concentrated in certain areas, eeh wards due to limited resources. But what it is is that as they in, as NGOs come in, in the district, we’re able to advise as a district or to re-direct because most NGOs they usually come with pre-conceived whatever, eh eh agendas.”*

#### **d) Theme 1.2.4: Overdependence on external support**

It became evident from the interviews also that the charitable organisations in Mongu relied entirely on external support, which was not sustainable. Instead of depending totally on external donor aid, the local communities are supposed to identify their needs and design their path to economic growth and transformation with minimal external influence and support where needed. Suffice it to state that external philanthropic aid should be managed in such a way that it will not disempower local initiatives and cause dependency. The ethical issue at stake here is that of *dependency* versus *self-determination*. So, the focus should be on increasing self-reliance, such as through income generating initiatives (Blackman, 2007:30). In this regard, the local community is expected to utilise philanthropic support to help individuals and communities to attain sustainable transformational development through technical, physical, and financial support to enhance bigger and long term transformational projects (Van Hoek and Yardley, 2009:6).

- i. P11: *“... So, as a result even charity, local organisations that are in charity work get affected because they entirely depend on donor support.”*

- ii. P9: *“The works of NGOs needs resources and we rely so much on donor funding for us to have those projects funded...”*

**e) Theme 1.2.5: Lack of effective monitoring and evaluation of NGOs**

Apparently, Zambia as a country has not had a policy to govern or monitor NGOs from precolonial times and this is what actually prompted the researcher to undertake this study as stated in the introduction to this research. As mentioned at the beginning of this study, it is, therefore, not known to what extent the ethical obligations of the NGOs are honoured or dishonoured in the implementation of their philanthropic strategies. This is a serious lapse in terms of transparency and accountability of the NGOs. Apparently, some participants in the interviews also alluded to lack of monitoring and evaluation of NGOs as contributing factor to the failure by the said organisations to make positive impact in Mongu. Said another way, there were not checks and balances, which is an ethical issue.

- i. P11: *“... who monitors the charity, you know work organisations in the district? Quite alright we have community development, but again also they’re in charge this time around they’re telling you know you should register with us, do that, but at the end of the day, do they have also capacity to monitor or hold accountable you know the charitable organisations?”*
- ii. FGD P8: *“Instead of just giving scholarship, they should go and check if the people they’re doing the good work. But them they’re just contributing to say we’re giving bursary. For example at UBL they’re contributing bursary for 5 students, but those students they don’t follow them up, to check their performance. That’s the problem with NGOs, but they’re doing the works.”*

**f) Theme 1.2.6: Lack of skills and understanding of philanthropic strategies**

A lack of skills and understanding of philanthropic strategies is directly implied as a reason for the failure of the charities to impact the community positively. This shortfall is further associated with lack of effective planning on behalf of the NGOs, which is met by failure to make impact. Again the ethic of good practice hereby arises. It also became evident that the local charities in Mongu did not have the skills to work with external experts to ensure that their philanthropic strategies address the real pressing needs of the local people in the communities.



- i. P18: *“Generally, overall, I’d say NGOs usually come with their own predefined, or predetermined idea... So, you may find, these are services or support services that are more, NGO driven, and not necessary community driven. So they seem to be imposed on the people. So, when services like that are imposed, then we have a problem. They tend to have little acceptance from the people.”*
- ii. P11: *“Then, again it also come to issues of the capacities as local organisations that we have in Mongu district. What strategies do we employ to ensure that at least we provide quality services to the needy? ... So, as a result you find that again we’re not even catching with aah what is trending, what is tending in terms of donor support, in terms of the conditions that have been out in place to acquire those grants.”*
- iii. P11: *“Uhhh, I think the issue of accountability is the first thing because you find that quite alright this is the grant that we normally get, aah, our interest is to see that there’s proper, you know, outcome of what we’re doing... So, for me it’s all about compelling, especially the organisations, eeh, the charity organisations to do the needful in terms of accountability, to start with themselves. Accountability is the main issue...”*

#### **g) Theme 1.2.7: Corruption**

Corruption “sands the wheels of development in Africa” (Owoye and Bissessar, 2015:1) as it negatively compromises ethics such as integrity, transparency and accountability, equality and fairness, among others. The participants highlighted that the aspect of corruption was very serious among NGOs in Mongu. Suffice it to also highlight that it is critical for charitable organisations to understand the complexity of donor support (aid) from a broader perspective when engaging in philanthropic activities in the communities. If not used properly and at the proper time, aid can breed corruption, dependency, and even encourage violent tensions (Ayodele et al., 2005:1-2; Collier, 2007:106).

- i. FGD4 P5: *“The issue of corruption is very serious there. We’re killed by what? Corruption. That’s what is killing us. If there are some people who can talk to them on corruption, let them go and talk to them... What is there is corruption!”*
- ii. FGD4 P1: *“... And the other part is that ah, if you don’t have something when it comes to corruption, if you don’t have to pay money, you cannot find any job, coz it’s not about ah in government, we rely on the non-governmental organisations...”*

#### **h) Theme 1.2.8: Tension with government / political influence**

Cooperation with government in implementing philanthropic strategies can be either a positive contribution or a hindrance, especially when donor aid is involved. The government has its own agenda, which may not necessarily be aligned to that of some charitable organisations. Critical decisions have to be made amidst ethical dilemmas of whether to follow government dictates or stick to the terms of reference of the charity. As such, good practice and practical moral reasoning such as careful planning and consideration is required when engaging government in the process of implementing philanthropic strategies by charitable organisations. Otherwise, there is likely to be tensions and frictions between government and charitable organisations, as seen from the interviews.

- i. FGD1 P5: *“You know, coz NGOs, as I said these they work independently, they’re not part of government they’re there to support the needs of the people, maybe people needs to be helped with. But there’s one, one that I know last time that tried to oppose the government and that was the end of it. So, it’s really difficulty, it’s the picture of the nation, how we handle things. It starts from there. So, that’s what maybe we we don’t find it easy as NGOs to give it hundred percent of what they’re supposed to do for the community.”*
- ii. P4: *“Yeah, so, well – I don’t want to give a blanket statement for all the NGOs, but I think there’s [some arrogancy!], in the way they – they do things... In the first place, whatever they’re doing they’re doing it on behalf of government. So, they’re supposed yo follow what government provides for, but ah in most cases you find that as long as they have the money and no, they’ll they’ll ignore you even when you try to correct them that this is, what they’re doing is wrong, they’ll – [laughs they’ll, I mean they’ll it’s like they have it all. So, who are you to go and correct them?... So, I, that’s why I’m saying I think there’s some [arrogance!] with them, because they have the money they have the resources, they think, who is government?”*
- iii. P11: *“Aah, I don’t know, ah sometimes even just political influence has contributed to poor working culture of charitable organisations... Yah, so those politics also sometimes influence where the money should be, where the resources should be going.”*

- iv. FGD1 P5: *“So, also on the political aspect, it’s one of the things that is affecting us, sure. We’re not receiving that support like other provinces.”*

**i) Theme 1.2.9: Uncoordinated and insufficient efforts**

The participants identified interventions by some charitable organisations in Mongu that are beneficial to the community in terms of supplementing government efforts and in other assorted community aspects. These interventions addressed a range of needs, from education, nutritional support, to HIV/AIDS and Covid-19 preventive and relief measures. From the interviews, it seems that these are not necessarily coordinated proactive philanthropic efforts that could have a remarkable positive impact in the community. This is evident from the amount of duplicity exhibited in the statements of the participants. The said efforts also could not be described as sufficient to cause positive impact in the community. The issue that seems to come to the fore is that of temporary relief (dependence) versus permanent change (self-sustaining).

- i. P4: *“We ne we need the NGOs because government cannot meet each and every need of the people in society.”*
- ii. P10: *“Charitable organisations are supplementing what the government is trying to do...”*
- iii. P20: *“Ok, aah, there’s a lot which is aah being done on the ground, mainly facilitated by the non-governmental organisations in different sectors from focus areas. These include HIV/AIDS and programming, and aah issues to do with HIV testing, care and support. There is a lot also to do with income generating activities, improving the livelihood of the poor. There is a lot in terms of sponsoring young boys and girls who are orphaned, who are vulnerable to access education and other social and basic needs. Yes, so, there is quite a lot in terms of aah, supplementing government efforts in various spheres of life...”*
- iv. P1: *“I’d see certain NGOs come on board to support families that have got people that are living with HIV/AIDS... Yeah, to support those that have been orphaned due to HIV/AIDS, yeah, to provide food, and link them also to medication, yeah in the area of health.”*
- v. P15: *“I may not know about what other organisations are doing, but at least I know*

*that we're doing. I'd say ah we're reaching out to vulnerable communities, in this case in our area of interest, which is managing HIV. Testing peoples and case identifying those who are infected to treating them and ensuring them at least they remain in good health, they remain of good health."*

#### **4.3.2 Theme 2: Real pressing problems and felt needs of the people**

Key to implementation of effective philanthropic strategies is accurate understanding of real pressing problems and felt needs of the target population or community (Goutier, 2020). During the interviews, participants revealed their real pressing problems and felt needs as hereafter presented. Apparently, all the community problems and needs identified by the participants are directly associated with the Sustainable Development Goals (SDGs) as outlined by the United Nations (2015). Therefore, ethical philanthropy in this case should aim t noble causes such as eliminating poverty, empowering communities, social justice, deserving and undeserving poor, and, in the broader sense, ethical reflection with universal ethical principles.

##### **4.3.2.1 Theme 2.1: Poverty**

*"No poverty", "Zero hunger", and "Good health and wellbeing"* are the first three of seventeen global Sustainable Development Goals (SDGs) (United Nations, 2015). Suffice it to highlight that poverty is a strong determinant of other human problems (Swanepoel and De Beer, 2015:111). According to the just quoted author, poverty contributes to several human problems such as physical weakness through lack of food, small bodies, malnutrition leading to low immune response to infections, and inability to reach or pay for health services. It also contributes to isolation due to inability to pay the cost of education, recreation, travelling to find work, to live near the village centre or main road. Ethically, philanthropy should fundamentally aim to eliminate poverty, as a pre-requisite to effectively address other connected human problems. The participants identified poverty as a major problem to an extent that members of the community cannot afford enough food for themselves and their families. According to the third SDG, everybody has a right to good health and wellbeing, but poverty is a big hindrance in this regard.

- i. P20: *"The most pressing need is poverty. Poverty is much more on the higher side.*

*It has impacted negatively on the livelihoods of many people. For example, quite a good number of boys and girls you find them loitering on the streets.”*

- i. FGD1 P3: *“Yah, ok, one of the things like I was saying, ah poverty one, yes poverty”.*
- ii. P1: *“Aah, the poverty, the poverty is high... So, the economic aspect of it, eh poverty levels are high...”*

Hunger is directly associated with poverty and mentioned with the same emphasis.

- iii. FGD2 P3: *“Hunger is number one on the list!”*
- iv. P14: *“But really what I’m not seeing despite all what we’re doing, the challenges that we still see are poverty levels among our people... Yes, we need to do more, especially that already as Mongu we’re still at 82 point something poverty levels, which means we’re still poor despite all the interventions, we still need to do more... I think most of the pressing needs I think it’s economic needs at household level. I think it’s the one which is really pressing. Food insecurity at household level can cause other things like GBV, children dropping out of school, or course hunger, and other things.”*
- v. P17: *“The real big problem that we have in Mongu is hunger and there we need help also so that we can also help the people that we’re keeping here. Maybe the problem of hunger is also due to lack of jobs. That’s what is bringing hunger.”*

#### **4.3.2.2 Theme 2.2: Lack of employment and empowerment**

Employment and empowerment are synonymous terms in terms of impacting the socio-economic life of a people as they are both key to community and global success (United Nations, 2023). According to SDG 8, *“Decent work and economic growth”* is everybody’s right (United Nations, 2015). Thus, where there are no employment opportunities, other forms of empowerment such as skills development and income generating initiatives would provide alternative livelihoods of similar or even higher quality for a people. Apparently, the people of Mongu find themselves in a dilemma of being without either employment or empowerment opportunities. As a result, young people resort to bad vices such as prostitution for girls and criminal activities for boys. Ethically, philanthropy should aim at noble causes such as empowering individuals and communities, healing injustices and

overcoming unjust policies. In broader perspective, again ethical reflection with universal ethical principles also comes into consideration.

Specifically, there is critical need for empowerment among the people of Mongu, especially women and youths. P2: *“Now, what are the perceived needs of the people in Mongu (R: Yeah). One, employment. There’s very little employment in Mongu or Western Province in general because you don’t have industry, you don’t have big scale commercial farming, you don’t have, that type of thing is missing here in Mongu.”*

- i. P9: *“I think what comes out strongly here are issues of unemployment... And because of that, we’re seeing a lot of young people now engaging in what is called illicit kind of behaviour... because they need money. If they have nothing to do they begin some criminal idea as their way of life.”*
- ii. FGD1 P4: *“Ah, maybe to add on, the other thing is lack of employment... Yes, you find that there are a lot of youths out there who have graduated from school. Some are teachers, some are nurses, to mention but a few, but these people are not working. So, lack of employment, this is one of the things that aah – one of the things that is contributing to poverty here.”*
- iii. P7: *[Takes deep breath]. “Aah, I think the most important thing that the community requires is, eeh, aah, life skills. (R: life skills)... Some of us, some of our people are engaged in agriculture. So, production is, is one of the major things and also the aspect of, of life skills like I mentioned, also women empowerment.”*
- iv. P6: *“Empowerment! Eeh, we we’re we’re a country going into the phase where we have realised that the best way to reduce unemployment is to let people employ themselves.”*
- v. P3: *“Yes, that way how our community they want they need to be empowered.”*
- vi. P13: *Aah, definitely certain issues such as gender issues are still there... empowering women more... I do think there are still a lot of inequalities.*
- vii. FGD2 P3: *“Like us who don’t work there are a lot of things we need. There’s a business that I’m doing, but it’s not enough it can’t cater for all my needs with my children. So, I need help in terms being empowered, empowerment.”*

**a) Street kids and child headed homes as a result of a lack of jobs and empowerment**

- viii. FGD4 P5: *“And there are no jobs. No wonder there are a lot streets kids because there are no jobs for youths... That’s why young boys become junkies and girls become prostitutes because there are no jobs to keep them busy and to live on.”*
- ix. P20: *“Children are are taking care of the family instead of the family taking care of the children.”*

**4.3.2.3 Theme 2.3: Transport and communication**

Transport challenges due to poor road infrastructure and mobile phone network, as well as flooding of the Zambezi River annually are cited among the major problems that the people of Mongu face. Consequently, some sectors of community are unable to access basic services such as health and education. There is need for ethical giving for this cause.

P1: *“They’re many. They’re many, they’re many they’re many. The road network is not okay, we need to improve on our roads...”*

P15: *“About half of the year some people are cut off because of floods... And aah transport just becomes a challenge even just going for other services... So, I’ll say transport, and aah just general communication. And you find these are areas where the aaf even the network providers, the network signals are not strong enough for them to be able to call for help when they need it...”*

**4.3.2.4 Theme 2.4: Education**

This is another noble cause for ethical philanthropy. One of the necessary preconditions for transforming African poor communities is having a larger percentage of the respective population having attained the necessary education (Collier, 2007:70-71). According to the United Nations Conference on Trade and Development (Osakwe and Poretti, 2015:3), inclusive developmental programmes that provide for better access to education, especially for the poor, increase the economy's stock of human capital and thus have a positive impact on community growth and productivity. The people of Mongu that participated in the research interviews conducted by the researcher are aware of critical needs in the education sector of their community.

- i. P13: *“Aah, definitely, huge dire needs in the education sector...”*
- ii. P7: *“... the literacy, the literacy, eeh, education, it a priority of the people.”*
- iii. FGD2 P3: *“... And education... The needs are many.”*
- iv. P1: *“Infrastructure for schools is gone down. Yeah, so we need to improve on our infrastructure for school going children. That includes where they’ll sit, the desks. Yeah, so generally what most people in Mongu need is to put food on the table.... We’ve so many grade twelve dropouts that have no money to go to university, you know. Yeah, so economic part of it is the most challenge that people have, aah, less, not having money to survive.”*

Ignorance is hereby perceived as a lack of education and thus strengthens the need for education.

- v. FGD1 P3: *“... Then aah, aah second one – is aah being ignorant.”*

#### **4.3.2.5 Theme 2.5: Health**

To every human being, health comes first. As such, ethical philanthropy should also prioritise human health. According to Yahaya and Gunduz (2018:63), the protection of health is the highest blessing any human being needs. Therefore, inclusive developmental programmes that promote better access to good health services, especially for the poor, increase the economy's stock of human capital and, therefore, have a positive impact on community growth and transformation (Osakwe and Poretti, 2015:3). The participants indicated that there a lot of health related problems and felt needs in Mongu that needed to be addressed (P13: *“...there are huge needs in the health sector...”*).

- i. P10: *“And the needs are many, aah, health issues, lots of issues...”*
- ii. P15: *“So, I’ll say health issues... also stigma is among those living with HIV is still strong... So, stigma is one of those issues.”*

##### **a) Water and sanitation are some of the highlighted health related issues**

- iii. P18: *“Mongu is a complex place. You’ll find that the biggest issues would be issues to do with water and sanitation, especially for the colleagues in the plains, especially as the rain seasons will be is is is gone now and the the water levels are going down,*



*they tend to be affected more with these the the water-borne diseases.”*

- iv. FGD3 P7: *“I think... the people in Mongu here, especially those that a re bit far from town, they really need help with water, and most of the NGOs are not meeting the target... Water is life as you know. Most of the houses here they buy water from people who are privileged.”*
- v. FGD2 P3: *“The needs are many, even water. Those who have boreholes charge one kwacha per 20 litre container. The people also cover long distances to go and draw water. I think if there’s a borehole sunk nearby it can help...”*
- vi. FGD3 P3: *“Again, the issue of sanitation, they use pit latrines, you fine most of these they don’t even have toilets... There’s actually open defecation.”*

#### **4.3.2.6 Theme 2.6: Climate change**

This also in line with one of the SDGs, namely Climate Action – SDG 13 (United Nations 2015). Climate change disproportionately affects the continent of Africa (Ngaira, 2007:238-243) and this is also true for Mongu. Preservation of the ecosystem and sustainable utilisation of natural resources in an ethical obligation of every person in earth. Therefore, giving for climate change is ethically acceptable. Some participants in research seem to be aware that of the effects of climate change on their valuable natural resources such as water bodies and fish species. Furthermore, human survival activities such as indiscriminate fishing exacerbate the effects that climate already has on the area and the participants realise that this is a real pressing problem and actually a priority concern.

- i. P11: *“The real pressing issues in Mongu, le me speak to, let me speak in particularly, to Western Province, per se; issues of climate change. Climate change has been a pressing issue because, even when you see our water bodies, we’re, the fish is depleting. Where are we going? These are the issues that have been brought about by climate change. And also the issue of, aah, the issue of using illegal fish gears. So, we don’t know what our generation is going to do come after ten years or so. Yah, so, we have issues of climate change here. It’s really affected the province in particular.”*
- ii. P13: *“...again not unique to Mongu, but definilty has impact, like climate change has lot impact on Mongu. It’s a priority.”*

- iii. P13: *“Yah, and Mongu probably due to the unique historical and geographic and political, aah, like circumstance, it’s in actually a major need of development or asymmetrical development as I said, definitely agriculture and non-agriculture, aah livelihood sector. Definitley, uhmm definitely related things such has climate resilience...”*

### **4.3.3 Theme 3: Strategies employed by charitable organisations**

Two extremely opposing views are held regarding the strategies employed by charitable organisations operating in Mongu and, apparently, each extreme is held by an interested party. On one hand, the participants from the local community and government express ignorance about the strategies employed by the said NGOs, with some at most indicating that the NOGs are biased and irrational in their strategies.

- i. P18: *“I don’t know what criteria they use because you still find a lot of those people who need their services on the street, and they cannot be taken on. So, you start think to say then what are they doing?”*
- i. FGD2 P7: *“NGOs show segregation in distributing help to people. Some people will just hear of helps from NGOs from other people but will never get it themselves.”*
- ii. FGD3 P3: *“Maybe I can add on... it’s like they’re helping out people who are not supposed to be helped.”*

On the other hand, officials (leaders) of NGOs themselves mentioned a handful of strategies that they employ in the execution of their philanthropic strategies as hereafter thematised and supported by direct citations. The big question, however, is whether these strategies address the real pressing problems and felt needs of the local people as expressed in the previous section, which is an ethical question. Ethical reflection with universal ethical principles, good practice, and practical moral reasoning are directly connected with this themes and its subthemes.

#### **4.3.3.1 Theme 3.1: Networking with government sectors and other stakeholders**

Most of the NGOs claimed to work with and through concerned government sectors and other relevant stakeholders. As earlier indicate under theme 1.2.8, cooperation with

government in philanthropic activities can be complex, especially when donor aid is involved because government has its own agenda, which may not necessarily be aligned to that of some charitable organisations. An obvious question in this case is whether the government agenda is always aligned with the aspirations of the charities or not.

- i. P19: *“So, we work with government sectors... All those activities are done directly by government sectors. So, our role is just to facilitate that this is happening. We are ensuring that the activities that are planned are implemented based on the budget that was approved... We have to do a joint monitoring sometimes with all the stakeholders.”*
- i. P15: *“So, we’ve got ah working with the ministry of health as a strategy.”*
- ii. P10: *“Uhm, we take referrals from the hospitals, we link in with the rural health centres... Like I said, we’re supplementing, we work a lot with the ministry of health and with the ministry of education as well as the ministry of social welfare and community development. These are the main ministries that we work with.”*
- iii. P9: *“We’re also into what we call governance issues, where we lobby and advocate for youth issues as related to the youth policy... Also, by linking them for empowerment so that they can have the necessary start-up capital.”*

#### **4.3.3.2 Theme 3.2: Community sensitisation**

This was mainly done through awareness campaigns and distribution of brochures by some NGOs. It also included identification and support of clients through community structures, down to family level.

- i. P9: *“So, we do those awareness campaigns or preventive messages when it comes to health...”*
- i. P10: *“We normally have a brochure that we tell people what we can help with, what Cheshire Homes is all about and what we do.”*
- ii. P9: *“The identification process starts right from the ground, the community as we interact with the young people. Some of them they come to us through, referral because we work with other cooperating partners, or through our community structures because we have structures that are going up to community level. So,*

*through that is how we identify our targets.”*

- iii. P10: *“And we ask health centres to link in families because they’re seeing the children all the time...”*
- iv. P12: *“I’d say we’re really changing lives of vulnerable children, but we’re not only ending at the level of children. We’re going further by empowering families because by the end of the day we know that these children belong to families. In as much as we will always be housing them here throughout the whole integration process, families play a very key role in the whole process because they’re our major, they’re our major partners.”*

#### **4.3.3.3 Theme 3.3: Training (capacity building) workshops**

This strategy seems to resolve the lack of skills and capacity among the local people to work with the NGOs. It is, however, evident from the interviews that the NGOs in Mongu spent a lot of donor money on capacity building by way of conducting lots of training workshops. Apparently, some of the officials of NGOs interviewed also questioned the effectiveness of these workshops and trainings, despite the lots of money and efforts spent on them.

- i. P10: *“These NGOs they do a lot of training. Ummm, they do a lot of Workshops and training and and skills, passing on of skills, but [sometimes I wonder where they they – where the training goes to because you don’t see where any of those result falls. And I know there’s a lot of money spent on workshops and stuff like that.”*
- i. P14: *“So, in most cases we do capacity building. For example, as YWCA we’re currently focusing on using human rights-based approach because that it’s, we feel that if people understand it and understand the human rights-based approach, they’re able to have that knowledge, they’re able to engage the leaders so that at least they access the services that they, that they need... But really what I’m not seeing despite all what we’re doing, the challenges that we still see are poverty levels among our people.”*
- ii. P11: *“And the problem again is just again the mentality also contributes because there’re certain organisations that would come on board just to build capacity among the local organisations so that they should be able to provide these services, even when there’s little or no support from donors.”*

- iii. P10: *“We have our main care worker who does workshops with parents, with the children, with the staff on various topics such as hygiene and English classes with parents because we feel that if parents have a language they can make themselves understood to doctors, visiting doctors who come.”*

#### **4.3.3.4 Theme 3.4: Connection with churches**

Most of the charitable organisations operating in Mongu are connected to some churches in one way or another, a scenario described by one participant as remarkable from the point of ethics.

- i. P13: *“I observed that the work of a number of NGOs in Mongu was somehow connected to some church. So, I thought that was remarkable, especially from the point of ethics.”*
- i. P16: *“So as charitable organisations in representing our church mother bodies, we also we also need to do some work concerning the social and economic wellbeing.”*
- ii. P10: *“These are the main ministries that we work with... and the churches as well.”*

#### **4.3.3.5 Theme 3.5: Appeal to spirituality**

Apparently, most of the NGOs interviewed appealed to an aspect of spirituality to enhance success in the execution of their philanthropic strategies. This is probably because most of the NGOs in Mongu are connected to churches in one way or another, and also the declaration of Zambia as a Christian nation.

- i. P14: *“I think as an organisation as I’ve said it’s an NGO at the same time it’s a faith-based organisation. So, we have some Christian values or course, where we normally inculcate those Christian values in the people that we’re working with... We ensure that in our issues we bring in the issues of spiritual aspects, because we know that even to change certain mind-sets, we need spiritual intervention. So, that’s why you find that... every Monday morning, we need to have a devotion before we start any activity. So, even when we go into the communities, in whatever we do we need to put God first – prayer and other things.”*
- i. P17: *“Then all the children who have grown up here we’ve taught them to love other people. That’s why we use the Bible and Christian values to follow what God wants*

*like other faith-based organisations.”*

- ii. P16: *“And as charitable organisations we should not only focus on spiritual, but also physical. Eeh, the physical part is the one which is there is a soul, which God really needs. And that soul it needs to be in a body which is, which should be of good health.”*

An observation is hereby made that most of the strategies that the NGOs claim to employ (except theme 3.3 – Section 4.3.3.3) do not address the real pressing problems and felt needs of the local people as expressed in the previous section, a scenario that is not in tandem with ethics in philanthropy. This is probably why the local non NGO participants expressed ignorance about the philanthropic strategies by the NGOs in Mongu.

#### **4.3.4 Theme 4: Expectations regarding charitable organisations operating in Mongu.**

In general, the participants expected the charitable organisations in Mongu to do a lot more than what they were currently doing in order to bring about positive impact in the community (P7: *“I think I I I expect the NGOs we have in the district to do more than what they are doing now. And I also expect more NGOs to come in – because you find that we really have a lot to do*). In particular, they expected NGOs to uplift living standards of the people, supplement government efforts, coordinate themselves, and cover both urban and rural areas. Furthermore, participants also expected NGOs operating in Mongu to be monitored and evaluated, practical and true, help vulnerable members of the community, understand the community through community research, and help with capacity building in the community. It is also notable that the people’s expectations are connected to their real pressing problems and felt needs.

Philanthropic ethics connected with the participants’ expectations of NGOs are ethical reflection with universal ethical principles, social justice, integrity, good practice, transparency and accountability, as well as the aspect deserving and undeserving poor people.

#### 4.3.4.1 Theme 4.1: NGOs should uplift living standards of the local people

The goals of philanthropy in developing countries are to help communities rebuild, advance, become sustainable, and eliminate social and economic inequality (Van Aken, 2021). The participants seem to have this understanding and thus expected the NGOs to uplift living standards of the local people in the due process of implementing their philanthropic strategies.

- i. P7: *“Eeh, Mo, eh Western province is one of the poorest provinces in the country. So, as NGOs keep on coming, you find that, that they’ll also be expected to be improving and uplifting the – communities. People out there in the community their living standard should be raised a bit.”*
- ii. P2: *“... we expect them to uplift the standards, of livelihood. People should be better after the NGO has operated for two years, three years, four years. We should see some positive impact.”*
- iii. P2: *“We’re not that productive after many years of NGOs which aim to make the people’s livelihoods improve, which are supposed to make the people self-employed, which are supposed to make the people small time businessmen... So, in Mongu if you had something that would eeh, - give the people – viable livelihoods, where they can look after themselves, and eeh they can start producing as economic units, I think that’s what we’re looking for in Mongu because eeh, they’ll tie to to that is giving them jobs and there’s na na no one who can give them jobs.”*

##### **a) Empower the community**

To uplift the living standards of the community in a sustainable way, charitable organisations should rather empower the local people to be self-sustaining than simply do welfare activities.

- i. P6: *“So, we’ll need someone who’ll come in with techniques to teach people entrepreneurship that they go and stand on their own... So, NGOs that we need are thos those that are going to scale out the empowerment strategy, I mean the the skills strategies, how to teach people, how to live, to harness themselves, how to manage their lives. That line to me will be very beneficial to the people of Zambia or of Mongu.”*

- ii. FGD1 P3: *“Aah, one of, one, one thing that I’d love NGOs to do for the people of Mongu is aah, you know, we just we just rely on the government to employ us. We’re not business minded. So, I think, you know if one NGO comes which will just be educating people on how to do business, you know entrepreneurship is one of the things that can help our people.”*
- iii. P3: *“We need NGOs that can provide the, the, maybe the grants for them to those that are really poor. We walk them through, through certain trainings of business. We give them some support in like the grants. When they give them those grants, they’re able to to do businesses. In turn they’re able to make, the profit they make they can bring back to the household and and buy good foods or take their children to school or buy some livestock that can help them to improve their livelihoods.”*

#### Strategically empower young people

- iv. FGD3 P7: *“As youths we have skills, but we lack empowerment. So, that’s what I’d like to see NGOs do, empowering youths.”*

#### Strategically empower women

- v. FGD3 P4: *“So, I’d encouraged the NGOs to come up with a strategy to go out and reach out there, to come up with a good percentage of women in the community for them to have a better life... There’s need to provide more strategies to help out those women who can do something, at least to engage them in other activities that will help them to bring something for their living.”*

#### Advocate / lobby for people

- vi. FGD1 P5: *“Non-government organisations that are supposed to stand for the people, to voice out for the people.”*

### **b) Provide employment where possible**

When they have opportunity to employ, charitable organisations should provide employment to the most deserving, especially youths.

- i. P3: *“The other expectation is the NGOs should employ those who have the necessary kills.”*



- ii. P2: *“Those who have skills let tme be employed as intern md those without skills may be volunteers in that particular organisation...”*
- iii. P5: *“I think it’s to bring employment to the young ones, to the youths in Mongu.”*

#### **4.3.4.2 Theme 4.2: NGOs should supplement government efforts**

In line with uplifting the living standards of local people, NGOs are also expected to supplement government efforts in all possible ways.

- i. P1: *“... you can’t have society without NGOs – (Hmm) That’s why they’re called non-governmental organisations. It’s to supplement government efforts. So, we really need NGOs in society to supplement government efforts. Where government is failing, the NGOs can come and and support.”*
- ii. P4: *“Well, I I ah [laughs] I think we should, we should continue talking to, we continue engaging. Not talking to them, but engaging as partners because no one has, we may be government, but it doesn’t mean we have higher authority.”*
- iii. P19: *“I think engaging more the government and also ensuring that they participate more effectively.”*

#### **4.3.4.3` Theme 4.3: The work of NGOs should be well coordinated among themselves**

Some of the reasons for the failure by NGOs to make positive impact in Mongu are duplicated and uncoordinated efforts. As such, participants in the research interviews also expected the work of NGOs to be well coordinated so as to *“make sense in synergy”* (P13).

- iv. P13: *“I’d not only expect the NGOs to do local consultancy to understand local needs, but to consult fellow stakeholders very very well – fellow NGOs, government and non-government organisations, community members, different persons, private stakeholders. Consult them really well, so that there isn’t competition or reason for competition maybe in terms of quality of services... no completion in terms of, aah everybody’s doing the same thing, resulting into duplicity... We should try to make sense in synergy.”*
- v. P9: *“NGOs are supposed to network and coordinate on issues that affect them as NGOs.”*

- vi. P4: *“We need to continuously engage and also strengthen the coordination part of it.”*

#### **4.3.4.4 Theme 4.4: Work of NGOs to cover both rural and urban areas**

It was revealed during interviews that most NGOs concentrated their activities in urban areas and immediate surroundings. This is probably to difficulties in accessing the more remote areas. The participants, however, noted that it was equally important for NGOs to reach out to the rural areas as well because there also people in need. One of the excellent participants was very elaborate on this aspect.

- i. P5: *“My, my personal expectations, I want every NGO who comes like here in Mongu to also reach rural areas because rural areas, eeh, communities they’re really don’t know. What is going on, what is happening in rural areas, those people who are coming to urban area to see what is happening, in rural areas they’re not there. Us as social workers we reach, to go to the community, rural areas. When you reach there, you find that it’s only social welfare and also even health and education. No NGOs! (R: Sure?). Yes. So, you find that what I’m seeing is that NGOs they’re more focussing in urban areas. In rural areas, if they’re there maybe one out of ten or two out of ten. So, for me, I want NGOs who focusses especially in rural areas, because in rural areas that’s where also we find that there’re need people who wants that help also.”*
- ii. P7: *“I think their areas of focus should not only be urban areas, but also rural areas... So, at least maybe it should be, it should be balanced.”*

#### **4.3.4.5 Theme 4.5: Monitoring and evaluation of NGOs**

As earlier mentioned, Zambia as a country with Mongu inclusive as a town within Zambia had no policy to govern NGOs from time immemorial. As such, the work of NGOs could not be monitored and evaluated effectively, let alone the ethical aspects. This was also cemented by participants in the interviews who demanded that there should have been independent groups to monitor the operations of NGOs within the local communities where the said NGOs operate.

- i. FGD4 P5: *“So, there should be a monitoring group in each community that monitors NGOs and those should not be from the government or NGOs themselves. Other people should monitor them to make sure they’re doing the right thing.”*

- ii. P6: *“That will do: Act, policies and the monitoring techniques, eeh strategies have to be there in order to protect the people and the country itself as as as well... “*
- iii. P9: *“So, I think that other than the act, the monitoring system has to be there... So, even those that are pumping in money, I think it’ll be advisable even for them to come in and start checking these organisations how they’re operating.”*

#### **4.3.4.6 Theme 4.6: Help vulnerable members of the community**

Most charitable organisations claim to be helping vulnerable people in society, especially women and children. Form the foregoing analysis, however, it is evident that this claim was not convincingly demonstrated by the charitable organisations operating in Mongu. As such, the participants still expected the charities help the really help vulnerable members of the community in their different categories.

##### **a) Advocate for social justice**

- i. P5: *“Non-government organisations that are supposed to stand for the people, to voice out for the people.”*
- ii. P10: *“In supplementing government efforts we start at policy formulation... So we become the voice for the young people in making sure that all those issues that concern the young people are communicated to government... So, we have represented the young people and we continue to engage the young people to get to understand what they really want to see happening for their benefit.*

##### **b) Help the neediest.**

- i. FGD3 P5: *“NGOs should come with strategies on how they can reach out to the real people in need.”*

##### **c) Widows and orphans**

- ii. P2: *“Those same people, the NGOs are expected to look after the vulnerable, the widows, the orphans, and so on.”*

##### **d) Educational support and talent promotion for children and youths**

- iii. FGD1 P4: *“For me aah, what I’d like these NGOs to do is taking these vulnerable children to school.”*

- iv. FGD2 P5: *“For me I think you need to start an organisation to help you people, looking after kids. Yah, if possible, open a school for them. [The vulnerable you know, they’re many!] in communities, even in this community they’re many. So, if you can even open a school for them, for me it’ll be a plus!”*
- v. *Then sponsorship for the youths. There are a lot of youths who have talents, a lot of talents, different talents, but they can’t move. They can’t continue because of there nothing... we can’t pay, w can’t work in here.*

**e) Inclusion of sports in education and recreation for children and youths**

- vi. FGD1 P1: *“And to add on that, you have a school with good sports facility like a sport centre, where these young ones they come and it’ll be, it’ll be nice.”*

**f) Old people**

- vii. FGD1 P4: *“Also, aah, taking care of elderlies. We have elderlies who are suffering out there in the community that needs help. So, this is one of the things that I’d like NGOs to be helping my, to be helping us here in Mongu.”*
- viii. FGD2 P2: *“Then the second thing I’d say is elderly, I think to take care of the elderly people who are in need.”*

**4.3.4.7 Theme 4.7: NGOs to be practical and true**

There is a general feeling among the people of Mongu as revealed by participants in the interview s that charitable organisations were not practicing what they said. Therefore, they are expected by the community to ‘walk their talk’ rather than just be theoretical in the comfort of their offices.

- i. FGD1 P3: *“That is why we’re saying we need those NGOs to do what they say. If they say we need our organisation will take care of orphans, let them take care of the orphans. If they say we need our organisation to take care of old aged people, let them do so, let them do that. So, in several cases we’ve seen they say this and what is happening is different.”*
- ii. FGD2 P2: *“Okay, aah the best thing is I’d love the organisations to – to do what they say! Yah, so that’s one of the things that I’d like to see.”*

- iii. P9: *“Eeh, I’d want NGOs to be as forceful and as practical as possible in terms of making sure that they create programs that add value to the wellbeing of the young people...”*
- iv. P17: *“All charitable organisations should not just be in the offices. They should have places or centres where they take care of their clients...”*
- v. P19: *“... they should really know about what projects are all about and what are the benefits? So, that even as they receive those benefits, they’ll also be able to measure whether they’re getting what was intended or not.”*

#### **4.3.4.8 Theme 4.8: Community research**

As part of the philanthropic strategies, charitable organisations in Mongu should include community research in order to determine real pressing problems and concrete felt needs of the people. Under normal circumstances, no pre-community research would result in failure of a project or community members opposing the project. It is evident from the empirical research interviews that participants expected charitable organisations first to understanding the through community research before determining what type of help they should bring and strategy to employ.

- i. P13: *“First of all I’d expect them not to dictate the situation but to seek the opinion of the local community and, aah... So that to me is number one that they should, I would expect them to seek, one, local consultancy...”*
- ii. P14: *“I’ve been thinking that if people had money or the if the province had money, or if there can be a donor who can come deliberately to do a research [just to find out why, to why after all the interventions that NGOs and the government are doing, it’s like nothing is happening]. So, personally sometimes I sit and think that if only there was a possibility of doing a research, it could help us to find out why despite all these interventions why Western is still, we’re still poor.”*
- iii. P20: *“Uhhh, there’s need also from time to time to carry out a study so that stakeholders can prioritise the needs of people.”*
- iv. P16: *“I’d expect them to really have the views of the youths because eeh, before you offer even such help, it should be demanded with them... they shouldn’t impose some*

*projects...*”

#### **4.3.4.9 Theme 4.9: Capacity building**

Capacity building is central to the quest for sustainable community transformation and co-goal of technical assistance, not just a mere component or by-product of development programs (Simpson, 2002:10). It entails growing local institutions and organisations with the vision, will, wisdom, and skills to work together to build a more prosperous, equitable, just, and sustainable community (MDC Inc., 2011:9). Furthermore, capacity building encompasses a community’s human, scientific, technological, organisational, institutional, and resource capabilities (Simpson, 2002:11). During the interviews, some participants seemed to be aware that any meaningful philanthropic strategy should equally consider community capacity building as an essential element.

- i. P13: *“I would expect them to focus on building local capacity, so, really, empower, ah local capacities and it can be done on so many different levels, including building capacity of local government, of communities, individuals, households, ah initiatives, groups, aah really whole communities...”*
- ii. P16: *“It’s like they’re beating in the bush they’re not really addressing it directly coz you could not just give them like farming implements without first having them capacity built in that area.”*
- iii. P20: *“I think it’s to expand on their scope of work and include capacity building.”*

#### **4.4 DESCRIPTIVE-EMPIRICAL PERSPECTIVES ON CHAPTER 4**

The empirical research has endeavoured to investigate the praxis and ethicality of philanthropic strategies employed by charitable organisations operating in Mongu. There was overwhelming response that the charitable organisations in Mongu failed to make positive impact in the community and the participants cited several reasons for the failure, some related to socio-cultural aspects of the people of Mongu and others related to operational practices of the charitable organisations themselves. The research has also unearthed the real pressing problems and felt needs of the Mongu community, as well as the strategies employed by the said charities, which, apparently, do not seem to address the real pressing need of the target community. Suffice it to highlight that poverty is a strong determinant of other human problems such as physical weakness through lack of food, small bodies,

malnutrition leading to low immune response to infections, and inability to reach or pay for health services and education, among others. Finally of the research has revealed several expectations of the local people regarding the charitable organisations operating in Mongu district.

In no particular order, the ethical implications of the foregoing emergent themes and subthemes are: ethical reflection with universal ethical principles, social justice, respect for diversities, good practice, practical moral reasoning, equality and fairness (equal regard), transparency and accountability, integrity (honest & truthfulness), self-determination, sustainability, ethical dilemmas, giving for noble causes, and the question of deserving and undeserving poor people. For detailed discussions of these ethical aspects, reference is made to the respective sections of the dissertation from where they have been extracted. As stated in the introduction to this chapter, these aspects will be evaluated against relevant ethical theories and also later discussed together with other concepts emerging from the wider research in the next chapter in order to bridge the perceived gap between theory and practice in evaluating ethical aspects of philanthropic strategies by charitable organisations.

#### **4.4.1 Member checking**

Member checking is the review of the researcher's interpretations by participants representing the relevant stakeholders in order to verify the researcher's findings (Bamberger et al., 2012:139). The participants are therefore charged with confirming or disconfirming the reasonableness of the interpretations drawn from the data by the researcher so that corrections could be made if need be.

As such, the research findings (themes and sub-themes) as well as the preliminary interpretations drawn from them by the researcher were presented to several community representatives for the specific purpose of member checking in form of a focus group discussion in accordance with Gabriel (1991:110). In some cases the researcher sent the research results and interpretations electronically to individual participants who could not attend the focus group discussion so that they could also give their feedback also. All the participants confirmed that the researcher's interpretations were appropriate.

## **4.5 ETHICAL EVALUATION**

Real science requires that there should be some rational connection between explanatory theory and empirical data (Murphy 1994:13). For instance, it can be argued from the viewpoint of critical realism that empirical research alone does not offer direct access to natural and social objects and phenomena, because it does not answer the 'why' question. According to Osmer (2008:71), empirical research should rather interact with theory in testing, revising, and elaborating its perspectives so as to understand why things are happening in a particular way in a given situation and context. It is this interaction of empirical research and theory that leads to the formulation of more adequate explanations of the natural and social worlds.

From an interpretive social science perspective, social science and theory are a form of practice and are essentially ethics in part and politics by other means (Richardson and Fowers, 1998:1, 17). In their article "Interpretive social science: an overview", Richardson and Fowers claim that social science and theory are an extension of our search for justice, love, and wisdom in a practical (real) life situation. As such, the duo is of the view that, an interpretive social science or hermeneutical approach offers a relatively coherent view of social inquiry that helps a researcher to incorporate the virtues and avoid the limitations of other perspectives. In accordance with this theoretical perspective too, the researcher will selectively and purposefully draw on theories that are relevant to ethical philanthropy as it relates to the topic under study rather than just fit things in any theory.

### **4.5.1 Ethical theoretical perspectives**

The identified ethical theories are implicit both from empirical research and relevant to enriching our understanding of ethical aspects of philanthropic strategies employed by charitable organisations in Mongu from a broader theoretical perspective in accordance with Osmer (2008:73-77). Furthermore, the discussion of the respective theories is based on their relevance to guide the ethical evaluation of ethical aspects of philanthropic strategies in ways that also help to inform a model for the evaluation of ethical aspects of philanthropic strategies of charitable organisations.



As earlier stated under section 2.5.2.2, values of the social work profession are deontological in nature (Opatrný (2020:306-307; Šrajer (2012), although social workers sometimes use teleological consequential arguments, especially the utilitarian strand (Kaptein and Wempe, 2002:28) to decide complex ethical dilemmas (Congress, 2000:10). According to the just cited author and Reamer (2019:20), most social workers do not even use a philosophical approach at all but base their decisions on other models of practical wisdom and moral reasoning when faced with ethical dilemmas, which is akin to practical moral reasoning (phronesis) discussed under ethical perspectives from practical theology (Section 2.4.1.4).

In view of the foregoing, the ethical evaluation in this chapter will be based on relevant ethical theoretical perspectives and the empirical research findings. In particular, Emmanuel Kant's moral theory of ethics and the Africa Ubuntu philosophy will be employed.

#### **4.5.1.1 Emmanuel Kant's moral theory: the categorical imperative procedure**

In discussing the Kantian approach to the ethics of philanthropy, Hill (2018:13-39) and Radovanović (2022:585-600) make several valuable contributions, in addition to highlighting familiar features of the Kantian approach. In his article entitled, "Kant's moral theory as a guide in philanthropy", Radovanović (2022:598) endeavours to sketch a guidance in philanthropy based on Kant's moral theory and argues that, under the framework of Kant's theory, we are morally obliged to relieve the suffering and/or improve the happiness of others. In support of this premise, Walla (2015) further regulates that *"latitude creates the required space for the satisfaction of the agent's most important needs compatible with a genuine commitment to the promotion of the happiness of others, what Kant calls one's true needs"*. Kant (cited by Radovanović, 2022:598) defines philanthropy as love of human beings, which is a practical love, resulting in beneficence. It is our duty be beneficent sacrificing a part of our welfare to the others. This is akin to the concept of charity (love) as discussed in the second chapter of this study (Section 2.2) and, as it were, it underpins the praxis of diakonia in Protestant theology, caritas in Catholic theology, and ubuntu in African traditional philosophy.

Hill (2018:20) notes that a proper application of Kantian theory to questions about philanthropy requires thinking about "midlevel moral principles for *imperfect* (nonideal) moral

agents in an *actual* and dangerously imperfect world". In the same vein and context, he adds that this implies that the principles that we accept "should not be framed in utter disregard of the probability that in fact not everyone will do 'their fair share". Accordingly, a proper Kantian account of our obligations of beneficence, then, might turn out to be more demanding than views according to which we are obligated only to do our fair part.

Kantian ethics are at the very base of the deontological ethical theory ascribed to the German philosopher Immanuel Kant (Gomez, s.a., 262-263; Sandle, 2023). According to the just cited sources, this theory, which developed as a result of the Enlightenment rationalism, is based on the view that the only intrinsically good thing is a good will, implying that an action can only be good if its maxim – the principle behind it – is duty to the moral law. According to Oblagwu and Onuoha (2019:30-32) and other Kantian proponents, Kantian ethics (duty ethics) are based on the moral theory that says people owe moral duties that are based on universal rules. CFI Team (2023) further elaborates that Kantian ethics are a set of universal moral principles that apply to all human beings, regardless of context or situation. Accordingly, Immanuel Kant, a German philosopher, calls these principles *Categorical Imperatives* that are defined by their morality and level of freedom (Hill, 2009:231). Accordingly, there is also a premise that people can use reasoning to reach ethical decisions. This reasoning allows social workers to act according to universally acceptable ethical principles such as others may act toward them and will make decisions based on positive outcomes.

This study builds on the premise that although there was no policy to govern NGOs in Zambia from the pre-colonial era, it is still imperative to evaluate the ethical aspects of philanthropic strategies employed by charitable organisations through ethical reflection on universally binding ethical principles. According to Osmer (2008:49), this will allow the respective organisations and moral communities to test their practices and norms against universally acceptable ethical standards. As such this theoretical perspective finds relevance for application in this study.

### a) The categorical imperative procedure

Central to Kant's moral theory is the use of a categorical imperative procedure, which involves the testing of maxims for universalisability in order to decide what to do, or even to construct all ethical truth (Gomez, s.a., 262; Hill, 2009:231; Kaptein and Wempe, 2002:14). In arguing for his formulation, Kant provisionally assumes that there are such things as basic moral principles and points out that the only thing that could count as a moral principle or "supreme practical principle" is a *categorical Imperative*, or a "universal practical law" that unconditionally demands compliance from everyone (Hill, 2009:90). In support of Kant, Radovanović (2022:589) writes:

*"When we consider whether an act that we want to undertake is morally right or wrong, we should test our principle of action, our maxim, against the categorical imperative."*

Kant formulates three versions of the categorical imperative, based on the principles of consistency, human dignity, and universality (BA Theories, 2021). In doing so he makes use of the concept of a "maxim", which is a principle on which one acts, and takes the form such as, "In such circumstances, do that." The maxim may or may not be a moral principle, but preferably and morally it should recommend a model course of action such as, *"If asked for my expenses, I ought to be truthful."*

Since moral beliefs are universally binding, one key characteristic of holding a moral belief is consistency. Hence Kant's (cited by Hill, 2009:4) formula of universal law as follows:

- i. Act only according to that maxim by which you can at the same time will that it should become a universal law.*

According to his first formulation, Kant is acknowledging the universal nature of morality (Hill, 2009:4). In acknowledging that a person should be honest, it implies that the person ought to be consistent, and that others ought to do likewise in similar circumstances (BA Theories, 2021). Likewise, by saying that one ought to be truthful, it implies that the person should do this whenever the same circumstances arise and that everyone should do so as well.

Kant's second formulation of Kant's categorical imperative is:

- ii. *Act so that you treat humanity, whether in your own person or in that of another always as an end and never as a means only.*

This formulation is often referred to as the principle of “respect for persons” (BA Theories, 2021) and is to the “dignity and worth of the human person”. According to the just cited source and Kaptein and Wempe (2002:16), Kant is hereby acknowledging that moral judgements are not hypothetical, and that human beings are ends in themselves, not means to an end. By illustration it implies that if a human being is treated as a means to an end by another human being, that action is not a moral one. And, as Herman (1984:586) writes, “in so far as one has ends at all, one has already willed the continued exercise of one’s agency as a rational being”. According to the last cited author, these ends “come from what Kant calls the ‘true needs’ of human agents” and have to be met “if an agent is to function (or continue to function) as a rational, end-setting agent” (Herman, 1989:424). Furthermore, according to Sticker (2022:432), true needs represent human priorities and that the affected people themselves should determine their own needs and priorities.

As such, Kant’s formulation of humanity as an end requires that humans are never treated merely as a means to an end, but always also as ends in themselves (BA Theories, 2021).

In his third formulation of the categorical imperative Kant writes that:

- iii. *Act only so that the will through its maxims could regard itself at the same time as universally lawgiving.*

This is the principle of universality, or universalisability (BA theories, 2021). According to the respectively cited source, Kant is acknowledging here that it is not just one person who makes moral judgements, but everyone else is involved. Everyone is a lawgiver in this sense, and hence each one should reflect on whether it would be acceptable if everyone acted on the same maxim as her or him. This third formulation calls upon one to ask whether she or he would be willing for her or his action to be universalisable.

#### **4.5.1.2 Summary of Kant's moral theory**

In summary, Kant endeavours to base his moral theory on the principle of reason, in contrast to the utilitarians, who emphasised feeling (BA Theories, 2021). Accordingly, Kant uses reason to determine the nature of morality, and by doing so holds that we can also ascertain the content of moral judgements, namely that one should only do what is universalisable, that one should respect persons, and that one should recognise that everyone is subject to the moral law.

In view of the foregoing, the Kantian moral theory is directly applicable to the main purpose of this study, namely, to evaluate the ethical aspects of philanthropic strategies of charitable organisations in Mongu by testing the respective philanthropic strategies against universally acceptable ethical principles. The three formulations of the categorical imperatives will be directly employed, namely:

- i. Act only according to that maxim by which you can at the same time will that it should become a universal law.*
- ii. Act so that you treat humanity, whether in your own person or in that of another always as an end and never as a means only.*
- iii. Act only so that the will through its maxims could regard itself at the same time as universally lawgiving.*

The other theory that will be employed along with the Kant's moral theory is the African Ubuntu philosophy as discussed hereafter.

#### **4.5.1.3 African "Ubuntu" philosophy**

Social work is a function of and response to many different contexts in which it operates (Ife, 1997:2). According to Okwokwo (2023) and Opatrný (2020:303), social work involves understanding and addressing the various social, cultural, economic, and political factors that impact individuals, families, and communities in their various contexts. As such, the evaluation of ethical aspects of philanthropic strategies of charitable organisations operating

in Mongu district of Western Zambia should also take into consideration the traditional cultural practices and belief system of the local people with regard to ethics in philanthropy. In this case and as Mabvurira (2020:74) also writes, ethical issue in social work practice with people of African descent should be guided by African Ubuntu philosophy.

“Ubuntu” is one of the core and probably most significant principles of traditional African culture (De Wet, 2011:28). According to Mbvurira (2020:74), Ubuntu refers to a collection of values and practices that black people of Africa or of African origin view as making people authentic human beings. Even though the nuances of these values and practices vary across different ethnic groups, they all point to one thing, namely, that an authentic individual human being is part of a larger and more significant relational, communal, societal, environmental and spiritual world. In an article entitled, “The African ethic of Ubuntu”, Merz (2019) writes that Ubuntu is a philosophy, a spirituality, and an ethic of African traditional life. Therefore, an evaluation of ethical aspects of philanthropic strategies of charities in an African context such as in Mongu, Zambia should also be framed within a narrative that appeals to the contextual conceptualisation of such ethics as Ubuntu. An excerpt from an article that appeared in the Zambian media (Lusaka Times) on May 8, 2016, succinctly sums up the conceptualisation and practice of Ubuntu among Zambians as follows:

*Africa oh Africa. Africa our motherland; the land of natural beauty and unity. Where everything belonged to everyone and children to the community, all in the spirit of Ubuntu. ‘Ubuntu’ – an African Bantu word, is a philosophy that reflects the human in us. It gives an understanding of who we are as human beings and how we relate to the rest of the universe. Humanity, unity, compassion, love, peace, and harmony in the African culture are everything that makes this continent so unique. As South Africa’s Archbishop Desmond Tutu passionately speaks of Ubuntu, “My humanity is caught up, is inextricably bound up, in yours. We belong in a bundle of life. We say, “A person is a person through other persons.”*

In the autobiographic book on his “Long Walk to Freedom...”, Nelson Mandela, one of the great moral and political leaders of our time and former president of South Africa, wrote:

*“I have always known that deep down in every human heart, there is mercy and generosity. No one is born hating another person because of the color of his skin, or his background, or*

*his religion. People must learn to hate, and if they can learn to hate, they can be taught to love, for love comes more naturally to the human heart than the opposite,*” (Mandela, 1994: 542).

Although the word “ubuntu” does not appear in this excerpt, it is still undisputable that Mandela is writing from an ubuntu background because it was his philosophy and motivation, too (Oppenheim, 2012:371)

In an article entitled, *“Hunhu / Ubuntu philosophy as a guide for ethical decision making in social work”*, the Zimbabwean author, Mabvurira (2020:74) writes that one of the supreme contributions of the peoples of Africa to the worldview is the Ubuntu philosophy. The word “Ubuntu” is derived from a commonality / similarity of Bantu languages of Africa, and it is, therefore, an African philosophy. In the geographical context of this study among the Lozi people Of Western Zamba, the actual word for human being (muntu) is “mutu” and Ubuntu is “Butu” and it means exactly the same as Ubuntu in other languages. As earlier mentioned in the second chapter of this study (Section 2.2, p25; De Wet, 2011:28), Ubuntu is a core principle of traditional African culture, and it implies humanness – the condition and quality of being human. As Broodryk (2004:31) writes, Ubuntu is based on the values of humanness, caring, respect, compassion, and associated values that ensure a happy and qualitative human life in a communal and family spirit. These values are akin to deontological ethics in philanthropy and can, therefore, be employed to evaluate ethics in philanthropy according to the topic of this study.

Apparently, the African traditional worldview of Ubuntu seems to have no direct equivalent in Western philosophical thought (Kgatla, 2016), but it does, nevertheless, complement the Western social thought in many respects. Kwamwangamalu (1999:24-42) describes Ubuntu as a community-based mindset in which the welfare of the group is greater than the welfare of a single individual member of the group, something similar to the sum total of synergy. Individuality, the sense of self, is, however, recognised as important in the concept of Ubuntu, as opposed to individualism, that seeks to promote selfish interests at the expense of others (Broodryk, 2002:42). Individualism is, therefore, not acceptable in the Ubuntu sense of morality. To the contrary, Ubuntu revolves around universally acceptable ethical values such as justice and fairness (Mabvurira, 2020:74)

Ubuntu, however, differs from many common religious and spiritual concepts such as faith, grace, or divine, which are essentially descriptive of a state of being, rather than having a prescriptive, moral meaning that refers explicitly to the moral directive to create community (Oppenheim, 2012:371). According to the just cited author, a person can have more or less Ubuntu in proportion to his conduct towards his fellow men, thereby making himself more or less of a genuine human being. As Ng'weshemi (2002:15) writes, *“For Africans, one is not human simply by birth. Rather one becomes human through a progressive process of integration into society”*. Therefore, the drive of Ubuntu spirit is to become more fully and genuinely human, in unity with fellow humans (Oppenheim, 2012:371). The active nature of Ubuntu does not limit it to a static state, and the ability to gain Ubuntu lies in the center of every human. By implication, if all human individuals contain within them a common core of decency as described by Mandela (1994:462), then every individual must also have the ability to access this core value and, if their heart is touched, they are capable of changing. This core of decency and humanity is also a core value of Ubuntu itself. Ethically, this core enables a will enable a human to act according to the good will as held by Kantian ethics too.

Furthermore, communalism and communitarian morality (unlike communism) are also core values of Ubuntu and imply that although the interests of the individual are subordinate to those of the group (Broodryk, 2002:42), the community should also focus on the interests of the individual members and those activities and behaviours that will ensure the good of the group (Muyingi, 2013:564). Ubuntu is, therefore, a collective solidarity, meaning that individuals will align their interests, activities, and loyalties to the group's cause and well-being (Mokgoro, 1997:45). According to Desmond Tutu, a South African borne iconic Pan Africanist and Nobel Peace Prize winner, Ubuntu speaks about wholeness and compassion (Tutu, 2004). He (Tutu) further argues that a person with Ubuntu (humanness) is welcoming, hospitable, warm, generous, and willing to share, a conceptualisation that is very much akin to philanthropy from a deontological ethical perspective.

In view of the foregoing discourse, it can be deduced that Ubuntu stands for communitarian morality. As Muyingi (2013:564-565) writes, the goal of that morality is dignity, reached through personal growth and fulfilment. Accordingly, the participation of the community is the essential means to personal dignity and, hence, this participation is the motive and



fulfilment of the process of morality. As such, everything that promotes personal dignity and participation in the community is good, whereas everything that prevents it is bad (Muyingi, 2013:564). Said another way, the moral possibility of Ubuntu intrinsically relates to human happiness and fulfilment within a community. According to Mbiti (1990:223-256) – one of Africa’s contemporary eminent philosophers and Christian theologians of Kenyan origin, this means the demand to participate in community, yet not only for the sake of personal fulfilment, but also for the sake of the fulfilment of the whole community, because only in the community is personal fulfilment thought possible.

Another key aspect worthy highlighting is that the Ubuntu attitude towards others is to treat the other as a self (Shutte, 2001:31), which is akin to the golden rule (do unto others as you like them to do unto you) and the greatest commandment (love your neighbour as yourself). As stated under the discussion on Kantian ethics and in the foregoing excerpts of this section, Ubuntu is also underpinned by the concept of love such as is taught in Biblical Christianity. Consequently, and like any other moral ideal, Ubuntu provide rules or normative ethics, and guides Africans to live a good life daily (Muyingi, 2013:565).

Suffice it to state at this stage that the concept of Ubuntu is, therefore, key to understanding Africa traditional ethics (Muyingi, 2013:561-562). Accordingly, whenever a person does not respect the life and dignity of other persons, she or he automatically loses her or his humanity because humanity is thought to be the essence of being human. Muyingi (2013:562) clearly states that it is the notion of humanity that constitutes the foundation of all traditional African ethics. According to Van Binsbergen (2001:19), Ubuntu recognises four attributes of being human, which are essentially ethics, and these are: human dignity, equality, universal brotherhood, and sacredness of life. These attributes provide the most desirable state of life in community-based living. Consequently, any conduct that does not respect the dignity of human life is bad, and whatever contributes to the protection and the intensification of human life is good. Hence Mungai’s (2015) Ubuntu emphasis on humanity states that whatever is good for humanity is Ubuntu and whatever harms humanity is against Ubuntu. This is a very critical ethical premise with regard to the ethical evaluation of philanthropic strategies employed by charitable organisations such as operating in Mongu.

#### **4.5.1.4 Summary of Ubuntu ethics relevant for philanthropic strategies**

In summary, the overarching Ubuntu ethic is being muntu / mutu (human) with Ubuntu / Butu (humanness). Regarding the topic under study, it means charitable organisations ought to have the acceptable qualities of humanness in the execution of their philanthropic strategies. As Mabvurira (2020:75) writes, the other ethics are as, but not limited to the following:

1. Consider the good of the majority or community over personal good (communitarian morality).
2. The course of action chosen (philanthropic strategy) should treat individuals equally (social justice/fairness).
3. Respect, love, care, and compassion for others, especially the vulnerable (dignity and worth of the human person / social justice).
4. Should bring no harm or pain to all the parties involved (no harm or pain).

The ethical evaluation of the empirical research findings in this chapter will be based on the foregoing Ubuntu ethics, along with the Kant's categorical imperative ethical procedure.

#### **4.5.2 Evaluation of ethical aspects of philanthropic strategies**

The ethical aspects of philanthropic strategies implicit in the empirical research findings will now be evaluated based on the relevant ethical theories discussed in the previous section. The empirical research revealed several ethical violations inherent in the philanthropic strategies charitable organisations operating in Mongu as hereafter discussed.

##### **4.5.2.1 Lack of an ethic of love**

Ethical philanthropy flows out of love for humanity. As per Kantian ethics, philanthropy is defined as love of human beings, which is a practical love, resulting in beneficence (Radovanović, 2022:598). According to the just cited author, it is our duty be beneficent by sacrificing part of our welfare for others. This is akin to the concept of charity (love) as discussed in the second chapter of this study (Section 2.2) and, as it were, it underpins the praxis of Diakonia in Protestant theology, Caritas in Catholic theology, and Ubuntu in African traditional philosophy.

Apparently, the empirical research revealed several unethical aspects that point to a lack of an ethic of love in the philanthropic strategies of charitable organisations that operated in Mongu, such as lack of respect for persons, unequal regard, and tribalism. Said another way, these unethical practices and several others as contained in the research results are as a result of a lack of an ethic of love, because true beneficence flows out of love according to Kantian ethics (Radovanović, 2022:598).

In understanding these unethical vices, it is imperative to recapitulate that philanthropy evolves from the biblical concept of charity (love) (Garcia-Irons (2018:1-7). As Osmer (2008:151) writes, Christian love should be understood and expressed as an ethic of equal regard because human beings are created in the image of God and are, therefore, worthy of respect in personal relationships and fair treatment in social institutions. In the narratives of Christ's ministry, he (Christ) is portrayed as telling his disciples more than eight times that they ought to love their neighbours as themselves (the Greatest Commandment) and follow the golden rule – do to others what you would like them to do to you. Osmer (2008:152) also states that general principles such love can help us to understand and address moral issues at stake in episodes, situations, and contexts, which in this case entails ethics in philanthropy. As it were, it is undisputable that both the Greatest Commandment and golden rule as taught in biblical and pastoral theology were being violated by the philanthropic strategies of charitable organisations in Mongu.

Equally, the Ubuntu attitude towards others is to treat the other as a self (Shutte, 2001:31), which is akin to the golden rule and the greatest commandment. As stated under the discussion on Kantian ethics, Ubuntu is also underpinned by the concept of love such as taught in biblical theology. Consequently, and like any other moral ideal, Ubuntu provides rules or normative ethics, and guides Africans to live a good and ethical life daily (Muyingi, 2013:565). As it were, one of the core ethics of Ubuntu is “respect, love, care, and compassion for others, especially the vulnerable” (Mabvurira, 2020:75). As such, a violation love for fellow humans is also a violation of the African Ubuntu philosophy.

The lack of an ethic of love in the philanthropic strategies of charitable organisation operating in Mongu can also be perceived as the root of all other ethical violations as revealed by the subsequent ethical evaluations.

#### 4.5.2.2 Using humans as means, not ends.

One of the serious ethical violations pertains to charities using people as means, rather than ends in themselves and this can be summed up one response: *“They are just using us to enrich themselves. Nothing is happening!”* (FGD4 P4). This is evidenced by the fact that there are no convincing tangible results seen from the work of NGOs in the area despite their presence in the area from precolonial times (Ministry of Community Development and Social Services, 2018:1-2). According to the Kant’s principle of respect of persons, one should *“Act so that you treat humanity, whether in your own person or in that of another always as an end and never as a means only”*. Also, this praxis by charitable organisations in Mongu cannot be accepted as a universal maxim according to the rest of the Kantian ethics.

Such inhuman attitude towards other humans as practiced by the charities in Mongu is also totally against one of the most basic African traditional ethics embraced by Ubuntu philosophy, which, *inter alia*, requires one to *“Consider the good of the majority against personal good”*. Ubuntu stands for communitarian morality and the goal of that morality is human dignity, reached through personal growth and fulfilment Muyingi (2013:564-565). Accordingly, participation of the community is the motive and fulfilment of the process of morality.

On the contrary, the research revealed that the people of Mongu did not participate in either the formulation or execution of philanthropic strategies of NGOs that operate in their communities to the point that they did not even know about the operational strategies of the respective NGOs. The only noticeable aspect to the participants was that the livelihoods of the officials of NGOs improved drastically. The following excerpt is a good sample statement in this regard: *“So, whereas the economy of the people looks the same or deteriorates, the personal economies of the heads of those, those NGOs seem to improve. That’s what brings a bad name on the NGOs, NGOs. They don’t seem to deliver!”*

In view of both Kantian universalisable ethics and African Ubuntu philosophy, using fellow humans as means, and worse so to selfish ends, is a serious ethical violation.

#### **4.5.2.3 Unequal treatment of clients / unequal distribution of resources**

According to Ubuntu ethics *“the course of action chosen (philanthropic strategy) should treat individuals equally”*. According to Mabvurira (2020:75), this means treating individuals with respect, love, care, and compassion, especially for the vulnerable members of society. To the contrary, the empirical research into ethical aspects of philanthropic strategies of NGOs in Mongu revealed that there were issues of greed / interest for personal gain, corruption, vulnerable members of the community being overlooked, concentration on urban area at the expense of the people in rural areas, difficulties for the vulnerable members of the community to access. All these aspects are recipe for unequal distribution of resources and unequal treatment of ss evidenced in the research.

When evaluated against Kant’s formula of universal law, *“Act only according to that maxim by which you can at the same time will that it should become a universal law”*, neither unequal treatment of clients nor unequal distribution of resources pass the test and neither can either of them be universalised, which renders them unethical to practice.

#### **4.5.2.4 Not addressing true needs of the people**

Human ends are directly connected to true needs of the people (Herman, 1989:424). The previous section has made a clear discourse that humans should never be treated as means, but ever as ends. In theme two of the empirical research findings, the participants, who were mainly local people and government officials, expressed their real pressing problems and felt needs, which are referred to as *“true needs”* in Kantian ethics (Sticker, 2022:432-434). In theme three the participants, who were mainly top officials of NGOs, described the philanthropic strategies employed by charitable organisations. Apparently, the philanthropic strategies described by officials of NGOs did not address the true need of the people that they claimed to help, rendering such interventions unethical.

According to African Ubuntu philosophical ethics, the charitable organisations operating in Mongu should *“consider the good of the majority community over personal good”* (Mabvurira, 2020:75). This also directly implies that the identified needs should serve not just the interest of some individuals, but that of the community at large, which is an equivalent dynamic of true needs. AS it were, the moral possibility of Ubuntu intrinsically relates to human

happiness and fulfilment within a community. As Mbiti (1990:223-256) writes, this means the demand to participate in community, yet not only for the sake of personal fulfilment, but also for the sake of the fulfilment of the whole community, because only in the community is personal fulfilment thought possible.

In view of the foregoing, the philanthropic strategies of charities in Mongu are found to be unethical because they do not address true need. Ethical philanthropy must address true needs of the people.

#### **4.5.2.5 Untruthfulness**

In Kantian ethics, *“truth is conformity of the cognition to the object in concreto”* (Kant 1783: 26). By implication, there must be concrete agreement of what something appears to be and its essence, that is, what it really is (Sher, 2017:184). As an example, BA Theories (2021) present a Kantian maxim such as, *“If asked for my expenses, I ought to be truthful.”*

Apparently, it has been argued right from the problem statement of this study (Section 1.3.2, p10-11) that some, if not most information reported by the charities can be insufficient or misrepresentative of the truth that is required for effective monitoring and regulation of charities (Hasnan et al., 2012:777). The empirical research verified this theoretical discovery as participants expected the NGOs to be practical and true as per the following sample excerpt from one participant:

*“That is why we’re saying we need those NGOs to do what they say. If they say we need our organisation will take care of orphans, let them take care of the orphans. If they say we need our organisation to take care of old aged people, let them do so, let them do that. So, in several cases we’ve seen they say this and what is happening is different.”* (FGD1 P3).

There is no agreement between the cognition and the object to the extent that some, if not most of the NGOs were not even visible to the community; *“But you can have these organisations like you say about 76 or so, but when you look at their visibility they’re just existing on papers. So, that has also contributed to to, you know, few organisations that are providing charity work in Western Province, generally.”* (P11).

Truthfulness as a moral value is also inherent in the African Ubuntu philosophy, wherein the

goal of morality is dignity that is reached through personal growth and fulfilment in a spirit of communalism and family (Muyingi, 2013:564). According to Mbvurira (2020:74-75), the moral value of truthfulness in Ubuntu also entails social justice because the community deserves to know the truth about the charitable organisations that operate in their area. As such, untruthfulness is unethical even from the perspective of Ubuntu because it is not good for humanity. Just like it cannot be universalised under Kantian ethics, Mungai (2015) also writes that “...*whatever is good for humanity is Ubuntu and whatever harms humanity is against Ubuntu*”.

This is a serious discrepancy in terms of the ethicality of the philanthropic strategies employed by charitable organisations operating in Mongu town of Western Zambia. It compromises critical desired ethical standards such as transparency and accountability, proper monitoring and evaluation, and ultimately undermines human dignity and value in both the individual and community.

#### **4.5.2.6 Harmful practices to community**

One of the core values of the African Ubuntu philosophy is to cause “*no harm or pain*” to all the parties involved (Mabvurira, 2020:75). This is also directly related to one of the core ethical considerations of this study stated earlier in the research design (Section 3.5.3), wherein “respect... refers to the avoidance of social and personal harm” to participants (Hugman, 2010:152), who in this case are also the recipients of charitable goods and services from charitable organisations.

Apparently, most of the reasons for failure by NGOs to make impact in Mongu as cited in theme 1 can be categorised as being rather harmful practices to the desired communitarian morality of Ubuntu. For example, tribalism, corruption, indigenous people not supportive to their own land, interest for personal gain and misappropriation of resources, etc. are all harmful to the community because they, among others, erode social justice, respect for diversity, equality and fairness, and practical moral reasoning that is necessary for ethical decision-making in philanthropy and all social work. If unchecked, these vices can breed internal conflict, which is development in reverse as it reduces economic growth by 2.3 percent per year on national scale according to research (Collier, 2007:27). Therefore, such practices as cited herein are harmful to the communitarian life because they are divisive and

cause pain, suffering, and conflict within rather than uniting and bringing happiness economic growth and transformation to the community.

When evaluated according to Kant's moral theory, the reasons why charitable organisations failed to bring about positive change in Mongu cannot be universalised or accepted as universal moral standards (Radovanović, 2022:589). For instance, it is unethical for one to will that selfishness (interest for personal gain) be made universal law or everybody acts selfishly. The litmus test here is the categorical imperative as supported by Radovanović (2022:589) that *"When we consider whether an act that we want to undertake is morally right or wrong, we should test our principle of action, our maxim, against the categorical imperative"*. It is commonplace to rationalise that harmful practices such as inherent in the charitable organisations operating in Mongu cannot bring about any positive change. This explains why the said charities did not make positive impact.

#### **4.6 FINAL REMARKS**

The research results have been thoroughly discussed in this chapter and all participants were selected according to the criteria described in the research design (Section 3.3.1.4), namely Mongu resident for at least five years, NGO official, and government official in a line ministry. The researcher adhered to gender representativeness as well as inclusion of young people in the research interviews. Furthermore, the researcher followed a multi-method approach (interviews, field notes, observations, and triangulation) in order to come up with a rich and meaningful description of the philanthropic strategies employed by charitable organisations that operate in Mongu. All respondents expressed dissatisfaction at the philanthropic strategies employed by charitable organisations in Mongu and there was need to review the praxis of the said charities and thus evaluate the ethicality of their philanthropic strategies.

As such, two relevant theories were employed to evaluate the ethicality of the research results with regard to the philanthropic strategies employed by charitable organisations in Mongu, namely, Kant's moral theory and African traditional philosophy of Ubuntu. The evaluation of the research results against the two theories revealed ethical violations that



are, but not limited to, lack of an ethic of love, using people as means instead of as ends in themselves, not addressing true needs of the people, unequal treatment of clients, untruthfulness, and harmful practices to the community. There is, therefore, need for an ethical review of the philanthropic strategies by charitable organisations operating in Mongu from time to time.

As such, the next chapter will focus on establishing action-guiding models aimed at developing a new praxis and model that will guide the evaluation of ethical aspects of philanthropic strategies of charitable organisations.

## CHAPTER 5

### MODEL FOR EVALUATING ETHICAL ASPECTS OF PHILANTHROPIC STRATEGIES EMPLOYED BY CHARITABLE ORGANISATIONS

#### 5.1 INTRODUCTION

This chapter forms the most abstract and flagship part of the study as concepts from the preceding research tasks are discussed and transformed into high-level insights and action-guiding models so that a new praxis and model for evaluating ethical aspects of philanthropic strategies by charitable organisations is formulated. In this chapter, discussions of empirical research findings (chapter 4) are connected with theoretical perspectives in the research (chapter 2 and elsewhere) in order to promote evidence-informed (or evidence-based) practice with theory-informed practice as Austin (2020:26) writes. As Payne (2014:4) also writes, there is need to bridge the perceived gap between practice and theory in research, where theory is often viewed as some speculation that is separate from practice. As such, the researcher hereby postulates that theory in social work does not only inform practice but is also developed from practice and is, therefore, also evidence based. In view of the foregoing trends, this chapter focuses on developing a model for evaluating ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu, based on both empirical and theoretical discourses of the preceding research tasks.

Without demeaning the supremacy of empirical data in any way, data from all the preceding research tasks are hereby considered and treated with equal regard in order to develop a new praxis that responds to both practical and theoretical dimensions of the research problem and question (Mutemwa, 2021:28). According to the just quoted source, the resultant new praxis must be able to inform a holistic approach to the evaluation of ethics in philanthropic strategies of charitable organisations.

Therefore, brief discussions of the perspectives from the preceding tasks of this research are presented and will be accompanied by a respective action-guiding model. This will be followed by specific themes (concepts) resulting from a synthesis of the detailed discourses

of the preceding tasks. The researcher will then propose and present a model for the evaluating philanthropic strategies of charitable organisations from a social work perspective.

The hermeneutical interaction among the chapters and perspectives of this research is hereby regarded as an important aspect that also gives this chapter its unique place in the research (Osmer's, 2008:4-11). As it were, empirical research gathers and analyses data that help to discern patterns and dynamics in particular, episodes, situations, or contexts, while theoretical research (literature research) draws on theories of the arts and sciences to better understand and explain why these patterns and dynamics are occurring. The pragmatic task then determines strategies of action that will influence situations in ways that are desirable and enters into reflective conversation with the talk back emerging when the strategies were enacted. As such, the research tasks interrelate in such a way that issues emerging in one task may open new insights or necessitate further probe in another task (Osmer, 2008:10).

## **5.2 SUMMARY OF PERSPECTIVES FROM PRECEDING RESEARCH TASKS**

A summary of the perspectives (concepts) identified in each of the three preceding tasks of this research will first be provided, followed by a unification of these concepts into themes and sub-themes (Section 5.3). This will be followed by a reflection of how the perspectives between the various phases are interacting (Section 5.4) with each other, in order to establish a framework for the development of an action-guiding model that will lead to a new praxis with regard to a model for evaluating ethical aspects of philanthropic strategies by employed by charitable organisations. As described in chapter three (Section 3.3.2), the relationships amongst concepts will be established with the help of Dickoff et al.'s (1968:434-435) survey list of seven questions.

### **5.2.1 Summary of theoretical perspectives**

A summary of theoretical perspectives is hereby provided and these contain the related key ethical aspects, which will constitute action-guiding models that will inform a new praxis and

model for the evaluation of ethical aspects of philanthropic strategies by charitable organisations.

#### **5.2.1.1 Guiding purpose of the research**

The guiding purpose (aim) of this study is to evaluate the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district of Zambia's Western Province, which points to ethical reflection (Sections 1.3.1, p 3 & 2.5.1.1, p 30-31).

#### **5.2.1.2 Ethical reflection on universal principals**

Even if Zambia as a country has had no policy to govern NGOs from the pre-colonial era, it is still imperative to evaluate the ethical aspects of philanthropic strategies employed by charitable organisations through ethical reflection on universal ethical principles in order to allow the respective organisations and moral communities to test their practices and norms against universally acceptable ethical standards (Osmer, 2008:49) (Section 1.3.1)

#### **5.2.1.3 Theoretical perspectives from pastoral theology**

The concepts of "charity" and "charitable purpose" evolve from a theological background and can be located within the pastoral theological theory, which embraces applied theology in Catholic theology and practical theology in the Protestant theological discourse. The dialogue of pastoral theology is, however, not restricted to the Christian community and sources, but involves critical reflection on the church's dialogue with Christian sources and other communities of experience and interpretation so as to guide the church's action toward holistic transformation. As such, it has been deductively inferred that that the framework for the subject under study comprises pastoral theology, social work, and common law. Accordingly, the ethical perspectives from pastoral theology with regard to the topic under study comprise ethical reflection with universal ethical principles, equal regard, good practice, and practical moral reasoning.

#### **5.2.1.4 Theoretical perspectives from social work**

Principles of social justice, human rights, collective responsibility and respect for diversities underpin social work practice. Apparently, the discourse of social work is also enriched

significantly by theological ethics through the latter's emphatic criticism of the limited focus of professional ethics of social work, which focus mainly on deontological and utilitarian ethics.

Although the issue of ethics in social work is not easily reconciled globally, which is customary of social work discourse, it is generally accepted that ethics in social work can be summed into six fundamental foci. These are: social justice, service, dignity and worth of the human person, integrity, importance of human relationships, and competence. Apparently, these ethical categories or perspectives are also applicable to the topic hereby under study.

Another area of ethical consideration for the perspective of social work concerns spirituality in social work as the origins of social work are in the practices of spirituality and religion and the principles thereof are based on the biblical idea of charity. The discrepancy between the rising concerns for more common use of spirituality in social work practice in the field and the lack of formal training and education on the topic poses serious ethical implications for the field of social work. As such, the perspective of spirituality in social work has definite implications for the subject under investigation.

Ethical dilemmas arise when two or more ethical principles clash and this calls for ethical decision-making or practical moral reasoning.

#### **5.2.1.5 Theoretical perspectives from common law**

The ethical perspectives from common law regarding philanthropic strategies of charitable organisations operating in Mongu have been based on threefold criterion of theoretical interpretation, ethical reflection, and good practice. Accordingly, theoretical interpretation of charity and charitable purposes should remind charities of their ethical obligations as they design their respective philanthropic strategies. Similarly, common law enforces that a charity must have a charitable purpose and be for the benefit of the public. The ethical question arising from theoretical interpretation of charity and charitable purpose is whether the philanthropic strategies of charitable organisations operating in Mongu adhere to the dictates of common law pertaining to charities and charitable purposes?

Ethical reflection includes the aspects of equality and fairness, right to self-determination, deserving and undeserving poor, and transparency and accountability. Good practice applies directly to the aspect of common law concerning charities and charitable purposes as it involves deriving acceptable norms from exploring models of such practice in the present and past or by engaging reflexivity in transforming practice in the present. Suffice it to infer that the aspects of theoretical interpretation and ethical reflection also constitute good practice with regard to the subject under investigation. For a better understanding, this has been presented in form of an equation as follows:

Theoretical Interpretation + Ethical Reflection = Good Practice.

## **5.2.2 Summary of empirical perspectives (research results)**

A summary of the empirical research results is hereby provided with the related ethical aspects, which will also constitute action-guiding models that will inform a new praxis and model for the evaluation of ethical aspects of philanthropic strategies by charitable organisations.

### **5.2.2.1 Reasons for failure by charitable organisations in Mongu to make positive impact.**

The empirical research overwhelmingly revealed that the charitable organisations (NGOs) operating in Mongu failed to make any positive impact in the community so far. Participants in the research cited several reasons for the failure, some of which are related to the *social and cultural* characteristics of the people of Mongu, while other are related to the *operational* praxis of the NGOs themselves. As it were, most of the reasons cited border on serious ethical issues such as social justice, equality and fairness, transparency and accountability, integrity, good practice, practical moral reasoning, respect for diversities, and ethical reflection with universal ethical principles in general. Other related aspects such as ethical dilemmas, sustainability and self-determination were also evident in the expectations of the participants.

In an interview, one of the participants lamented that NGOs were just exploiting people for their own advantage (FGD4 P4: *“They are just using us to enrich themselves. Nothing is*

*happening!*). Outrightly, the dignity and worth of the human person is also violated in this case! Several other participants expressed views that raise questions regarding ethicality of the charitable organisations.

### **5.2.2.2 Real pressing problems and felt needs of the people.**

Key to implementation of effective philanthropic strategies is accurate understanding of real pressing problems and felt needs of the target population or community (Goutier, 2020). During the interviews, participants revealed their real pressing problems and felt needs as *poverty, lack of employment and empowerment, transport and communication, education, health, and climate change*. Apparently, they also noted that philanthropic strategies of NGOs in the area did not address their real needs, which borders on serious ethical issues such as community participation in identifying and addressing their needs, giving for noble causes, as well as deserving and deserving poor. Other connected ethical aspects in this regard are social justice and, again, ethical reflection with universal ethical principles.

### **5.2.2.3 Philanthropic strategies employed by NGOs**

Philanthropy is about addressing people's needs. Two extremely opposing views are held regarding the strategies employed by charitable organisations in Mongu and, apparently, each by an interested party. On one hand, participants from the local community and government express ignorance about the strategies employed by the said NGOs, with some at most indicating that the NGOs are biased and irrational in their strategies.

On the other hand, officials of NGOs themselves mentioned a handful of techniques that they employ in executing their philanthropic strategies, namely networking with government and other stakeholders, community sensitisation, capacity building, and connection with churches, under which there is also an appeal to spirituality as a strategy for success.

The big question, therefore, is whether these strategies actually address the real pressing problems and felt needs of the local people or not. An observation is hereby made that most of the strategies that the NGOs claim to employ do not actually address the real pressing problems and felt needs of the local people as expressed in the previous section, except capacity building, a scenario that is not in tandem with ethics in philanthropy. This is probably why the non-NGO participants expressed ignorance about the philanthropic strategies by the

NGOs in Mongu. Clearly, ethical aspects such as good practice, ethical reflection with universal ethical principles, good practice, practical moral reasoning, as well transparency and accountability, as well as good practice are at stake in this case

#### **5.2.2.4 Expectations regarding charitable organisations**

It is notable from the empirical research that the people's expectations are connected to their real pressing problems and felt needs. As it were, the goals of philanthropy in developing countries are to help communities rebuild, advance, become sustainable, and eliminate social and economic inequality (Van Aken, 2021; Section 4.3.4.1). As such, participants expected NGOs to bring about positive impact in the community.

Among others, participants expected NGOs to advocate for social justice, uplift the living standards of the people by empowering them and providing employment where possible, supplement government efforts, and to be well coordinated among themselves as NGOs to avoid unethical practices such as duplicity of philanthropic activities. Furthermore, the work of NGOs is expected to cover both rural and urban areas, be monitored and evaluated by independent members of the local communities, help vulnerable members of the community starting with the neediest, as well as to be practical and true to their word. The people of Mongu also expected the NGOs to be conducting community research to identify the real pressing problems and felt needs of the people before moving in with their philanthropic strategies, as well as building the capacity of the local people in such a way that philanthropic aid should not disempower them and cause dependence, but be self-sustaining.

Finally, the researcher also identified the ethical aspects implicit in the expectations of the people of Mongu regards the operations of charitable organisations. Again in no particular order, these are: ethical reflection with universal ethical principles, social justice, integrity, good practice, deserving and undeserving poor, transparency and accountability.



### 5.3 ACTION-GUIDING CONCEPTS FOR EVALUATING ETHICAL ASPECTS OF PHILANTHROPIC STRATEGIES EMPLOYED BY CHARITABLE ORGANISATIONS OPERATING IN MONGU

This section is a summary of the concepts of all the preceding perspectives. The identified concepts have been grouped into four (4) themes and thirty-five (35) sub-themes, which are the specific action-guiding concepts towards a new praxis and model for the evaluation of philanthropic strategies employed by charitable organisations. As seen from the summary of the concepts in the following table (Table 5.2), most the sub-concepts actually come under other sub-concepts, but have been given count for the sake of explication.

**Table 5.1 Synopsis of the summary of the concepts**

No	Concept	Sub-concept
1	Ethical reflection	1.1 Reflection with universal ethical principles (Section 1.3.1, p 2; 2.5.1.1, p 30; 2.5.3, p 41) 1.1.1 Ethic of love (love for humanity / Ubuntu) (Section 4.5.2.1, p137-138) 1.1.2 Social justice (Section 2.5.2, p 33; 4.3.4.6, p 122) 1.1.3 Human rights (Section 2.5.2, p 33) 1.1.4 Collective responsibility (Section 2.5.2, p 33) 1.1.5 Respect for diversities (Section 2.5.2, p 33) 1.1.6 Ethical reflection on every phase of the process 1.2 Ethical reflection on charitable organisations and purposes (Section 2.5.3.2, p 42-50) 1.2.1 Equality and fairness 1.2.2 Right to self-determination 1.2.3 Deserving and undeserving poor 1.2.4 Transparency and accountability 1.2.5 Good practice
		2.1 Promoting citizen participation (Section 1.3.2, p 4)

2	Community participation	<p>2.2 Strategy formulation &amp; implementation (Sections 2.5.3.2b; 4.3.8, p 124)</p> <p>2.3 Sustainability (continuity) (Section 4.3.3.2a, p 98)</p>
3	Define community true needs	<p>3.1 Community research (Section 4.3.4.8, p 124)</p> <p>3.2 Real pressing problems and felt needs (Sections 4.3.3.2f, p 103; 4.3.2.6, p 112; 4.3.3, p 113 &amp; 117; 4.3.4, p 117; 4.3.4.8, p 124)</p> <p>3.3 Community expectations (Section 4.3.4 – 4.3.4.9, p 117 – 125; 4.5.2.4, p140)</p>
4	Philanthropic strategies	<p>4.1 Goals of philanthropy</p> <p>4.1.1 Ethical poverty alleviation (Sections 1.3.2, p 4)</p> <p>4.1.2 Community rebuilding, advancement, sustainability, &amp; elimination of socioeconomic inequality (Section 4.3.4.1, p 118)</p> <p>4.2 Charitable purposes (Sections 2.3, p 21 &amp; 2.4, p 27-27)</p> <p>4.2.1 Prevention or relief of poverty</p> <p>4.2.2 Advancement of education</p> <p>4.2.3 Advancement of religion</p> <p>4.2.4 Advancement of health or saving lives</p> <p>4.2.5 Advancement of citizenship or community development</p> <p>4.2.6 Advancement of arts, culture, heritage, or science</p> <p>4.2.7 Advancement of amateur sport</p> <p>4.2.8 Advancement of human rights, conflict resolution of reconciliation or promotion of religious or racial harmony or equality and diversity</p> <p>4.2.9 Advancement of environmental protection or improvement</p> <p>4.2.10 Relief of those in need by reason of youth, age, ill-health, disability, financial hardship, or other disability</p> <p>4.2.11 Advancement of animal welfare</p>

		<p>4.2.12 Promotion of efficiency of armed forces, police, fire and rescue services, or ambulance services</p> <p>4.2.13 Any other purpose recognised as charitable under existing charity law, analogous to, or within the spirit of, any purposes listed above or analogous to, or within the spirit of, any purposes recognised under charity law as falling within the above paragraphs</p>
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Reference to detailed discussions of the presented concepts is hereby made to the respective previous chapters and sections from where they have been extracted as cited in parentheses within the table. Following is the establishment of relationships among the concepts so as to inform a model for the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations.

#### **5.4 ESTABLISHING RELATIONSHIPS AMONG CONCEPTS**

Establishing relationships among concepts entails defining the concepts in such a way that they can no longer be viewed or treated in isolation, but in relation to each other and as parts of a bigger whole. When concepts are defined and viewed in relation to each other, they provide information about how empirical events occur, as well as how and why there is a relationship among the concepts (Dickoff *et al.*, 1968:431-433). The process involves identifying any current stand-alone concepts that can be associated with one another or if there are any concepts with multiple relationships with other concepts. As such, the researcher will have to determine the patterns and combination of patterns amongst the concepts and, to that effect, Dickoff *et al.*'s (1968:434-435) survey list of questions will be employed and customised for the subject under study. The questions are thus rephrased into more directly applicable than general terms.

**Table 5.2 Establishing relationships among concepts (Dickoff *et al.*, 1968:434-435)**

S/A	Survey question	Answer
1	Who is agent responsible for philanthropic strategies?	Charitable organisations
2	Who is the recipient of philanthropic strategies?	The local community members, irrespective of age, gender, race, ethnicity, or status.
3	What is the contextual reference wherein philanthropic strategies employed by charitable organisations are being evaluated?	Real-life context and naturalistic setting with diverse cultural aspects and community characteristics, where also philanthropic challenges and opportunities are experienced.
4	What are the techniques, procedures and/or protocols associated with evaluation of ethical aspects of philanthropic strategies?	Ethical reflection, community participation, defining community true needs, and enacting philanthropic strategies.
5	What is the aim of evaluating ethical aspects of philanthropic strategies?	To alleviate the plight of the poor and less privileged local people in an ethically acceptable manner.
6	What is the source of energy that provides motivation for the evaluation of ethical aspects philanthropic strategies employed by charitable organisations in Mongu?	6.1 The need for policy framework and ethical guidelines to govern and guide charitable organisations in the area and country at large. 6.2 Zambia as a country has had no policy to govern charitable organisations from precolonial times.
7	When will the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations in Mongu be terminated?	When community participation and ethicality become evident among recipients; that is, when they are able to participate in the formulation, implementation, and evaluation of philanthropic strategies employed by charitable organisation in their communities.

Following is a discussion of the foregoing tabulated relationships among the concepts and the practical relevance thereof for the community.

#### **5.4.1 Agent of philanthropic strategies**

As stated in problem statement (Section 1.3.2), charitable organisations have an obligation to foster ethics in their philanthropic strategies, given their public service mission (Hasnan et al., 2012:777). According to the just cited co-authors, ethics may even be comparatively more important to charitable than non-charitable organisations. Said another way, one can argue that charitable organisations have an even bigger stake in creating and maintaining an ethical positive public image than private enterprises because their primary stakeholders are donors.

The researcher hereby accepts, for the purpose of this study, that charitable organisations have a critical role to play in the development of society, improvement of communities, and promotion of citizen participation (Candid, 2019). The focus of this study, however, is to evaluate the praxis and impact of ethical aspects of philanthropic strategies employed by charitable organisations in improving the lives of the local people and community at large in a specific area. Therefore, this calls for ethical reflection on the part of charitable organisations. “Ethical reflection” is the use of ethical principles, rules, or guidelines to guide action toward moral ends (Osmer, 2008:161). This is not a matter of importing ethics into the research or problematic praxis, but rather the recognition that ethical norms and values already are part of any project process (Osmer, 2008:149). And the application of such norms and values does not only occur at the end of a project, but is present from the outset and influences it throughout (Browning (1991:39). . “Ethicality” in this case is seen as a desired means of effecting philanthropic strategies by charitable organisations.

This is where the model proposed by the researcher in this study endeavours to make a notable contribution to social work perspectives. What the model then proceeds to do hereafter is to provide guidelines of how these “agents of philanthropic strategies” (charities) can best direct their efforts and resources toward alleviating the plight of the poor in an ethically acceptable manner.

One of the critical things that charities in Mongu ought to do always is to ensure community participation.

#### **5.4.1.1 Ensure community participation from the outset and throughout**

The success and sustainability of any community project also inextricably depends on community participation in the project planning, implementation, and decision-making. The aspect of community participation resonates throughout this research. Right from the problem statement (Section 1.3.2) it is clear that charitable organisations have a critical role to play in the promotion of citizen participation in developmental undertakings such as philanthropic strategies (Candid, 2019). As stated in section 2.5.3.2b of this research, it is imperative for local communities to fully participate in both the formulation and implementation of philanthropic strategies intended for them, rather than merely trying out foreign concepts without due adherence to the autonomous identity and dynamics of their local context. Charitable organisations should, therefore, ensure that their strategies and everything they do to help individuals and communities is interwoven into the structures and systems of the respective communities so that they can be utilized sustained by the local community beyond the life of the project in the community. In an interview, one of the participants succinctly elaborated on the aspect as follows:

*“So, whatever we do, we do it with proportionate, fare, symmetrical, local development towards sustainability. Basically, what we do, after we’re gone the result should be well aligned, so well aligned with the local systems that the people should be able to work with it sustainably and it should be so well integrated into the local system because these are things of the local society. It should be in the fibres of the society so that it will continue being utilised and being developed by the local people...” (P13).*

Suffice it to recapitulate according to Section 4.3.3.2a (p98) that the sustainability of any community project also inextricably depends on community participation in the project planning, implementation, and decision-making. Said another way, participation enhances sustainability of transformational development triggered by philanthropic strategies and efforts.

#### **5.4.1.2 Sustainability**

Sustainability is vividly implicit in the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations right from the ethical reflection on charitable

organisations and purposes (Section 2.5.3.2b). Accordingly, philanthropic strategies such as welfare approaches should not disempower local people and cause dependency (Blackman (2007:30-32). The focus should be on increasing self-reliance of the local people such as through income generation initiatives (Blackman, 2007:30). Therefore, the local communities must pay attention to the incentives and philanthropic strategies that enable local households to adjust their production systems and livelihoods in ways that guarantee both welfare and sustainable economic growth (Pender et al., 2001a:1). This would ensure sustainable development strategies without compromising the local people's right to self-determination.

One of the major reasons for the failure by charitable organisations in Mongu to impact the community is a lack of sustainability in terms of continuity of both expert support staff and strategy implementation (Section 4.3.3.2a). It also became evident from the interviews that the charitable organisations in Mongu over depended (relied entirely) on external support, which was not sustainable (Section 4.3.3.2d). As such, the local community is expected to utilise philanthropic support to help individuals and communities to attain sustainable transformational development through technical, physical, and financial support to enhance bigger and long-term transformational projects (Van Hoek and Yardley, 2009:6). The problem of climate change as identified by participants in the research and described in section 4.3.2.6 call for the preservation of the ecosystem and sustainable utilisation of natural resources as an ethical obligation of every person on earth. As such, it is inevitable for the agent of philanthropic strategies to also do due diligence to the sustainability as an inextricably implicit ethical issue.

#### **5.4.2 Recipient of philanthropic strategies**

The recipients of philanthropic strategies are the local community as a whole irrespective of the ages, genders, races, ethnicity, or statuses of its people. The research has highlighted the vulnerable (e.g.: children, youth, women, old age, differently abled), poor, and other less privileged people in society within the context of the research, and this is sufficiently representative.

In general, within the context of social work, which is the conceptual framework of this study, the goals of philanthropy in developing countries such as Zambia are to help communities

rebuild, advance, become sustainable, and eliminate social and economic inequality (Van Aken, 2021). In particular, within the context of this study, the concept of philanthropic strategy entails alleviating the plight of the poor and less privileged local people in an ethically acceptable manner (Mahrik, 2017:136). As such, “Ethicality” in this case is seen as a desired means of effecting philanthropic strategies of charitable organisations.

It is, therefore, expected that the whole community will benefit from the evaluation of the ethical aspects of philanthropic strategies employed by charitable organisations such as operate in Mongu district of Western Zambia. As such, it is practically relevant for the local community as the recipient to have some pre-requisite skills and capacity to work with the charitable organisations.

#### **5.4.2.1 Community capacity building**

As it were, capacity building is central to the quest for sustainable community transformation and co-goal of technical assistance, not just a mere component or by-product of development programs (Simpson, 2002:10). It entails growing local institutions and organisations with the vision, will, wisdom, and skills to work together to build a more prosperous, equitable, just, and sustainable community (MDC Inc., 2011:9). Furthermore, capacity building encompasses a community’s human, scientific, technological, organisational, institutional, and resource capabilities (Simpson, 2002:11). For philanthropic strategies to be ethically and sustainably impactful, they ought to be equally accompanied by community capacity building. During the interviews, some participants also seemed to be aware that any meaningful philanthropic strategy should equally consider community capacity building as an essential component.

*“I would expect them to focus on building local capacity, so, really, empower, ah local capacities and it can be done on so many different levels, including building capacity of local government, of communities, individuals, households, ah initiatives, groups, aah really whole communities...” (P114).8*

Without capacity building, there would be no sustainability.



### **5.4.3 Contextual reference of philanthropic strategies**

Philanthropic strategies are employed in a real-life context and naturalistic setting with diversity of cultures and community characteristics, where also philanthropic challenges and opportunities can be experienced. It is in contexts such as this that social work engages actively with a broader spectrum of other fields and endeavours to adopt their theories and method for its own use – that is, regarding help for the client, as Opatrný (2020:300) writes. This also help the social worker to come up with meaningful interpretations of perceived patterns and behaviours of clients. According to Evans (2013:5), working with people in a social, naturalistic, and indeed holistic approach as this requires one to look at the person from a whole-life perspective because systems are nestled within other systems in the web of life (Osmer, 2008:93, 119). As such, this study has the potential to contribute significantly to social work perspectives with regard to ethics in philanthropy from the unique context of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district of Western Zambia.

#### **5.4.3.1 Understand the community through community research**

It is important to understand the community through pre-community research before moving in with a philanthropic strategy because community is a complex context. Therefore, as part of formulating philanthropic strategies, charitable organisations in Mongu should include community research in order to understand the surrounding dynamics and systems, as well as accurately determine the true needs of the people (Sections, 3.2.1.3; 4.3.4.8; 4.5.2.4). Warren (1995:66) writes that the best way to find out the culture, mind-set, and lifestyle of a people is to talk to them (Section 1.7). As stated in chapter 3 (Section 3.3.1.1), this is also in accordance with the overall aim of qualitative research, which is to understand the actions and practices in which humans engage in everyday life and the meaning they ascribe to their lived experiences (Osmer (2008:49-50). Under normal circumstances, no pre-community research can result in failure of a project or community members opposing the project. It is evident from the empirical research interviews that participants expected charitable organisations first to understanding the through community research before determining what type of help they should bring and strategy to employ (Section 4.3.4.8).

#### **5.4.4 Techniques associated with evaluating ethics in philanthropy**

As highlighted in section 5.4.1, the model proposed by the researcher in this study focuses on ethical reflection and then proceeds to give guidelines on how to best direct efforts and resources towards ethical philanthropic strategies. As such, the techniques associated with ethics in philanthropy are; *community participation, defining community needs, and determining purpose of the organisation*. As it were, community participation is not separable from the success and sustainability of any philanthropic strategies. On defining community true needs, suffice it to state that these should be holistic and concrete felt needs of the community and local communities are actually more effective in defining and meeting their own true needs (Gabriel (1991:4). So, they should not be left from the process. Determining the real purpose of an organisation claiming to be a charity will also help to evaluate whether the organisation is really a charity or not as its purpose will be weighed against charitable purposes and other ethical frameworks.

#### **5.4.5 Aim of philanthropic strategies**

The aim of philanthropic strategies within the context of this study is to alleviate the plight of the poor and less privileged people in society through ethically acceptable means (Mahrik, 2017:136) as earlier stated (Section 1.3.2, p 10). This is in tandem with the overall goals of philanthropy in developing countries according to Van Aken (2021), which are; to help communities rebuild, advance, become sustainable, and eliminate social and economic inequality.

#### **5.4.6 Source of energy providing motivation for evaluation of ethics in philanthropic strategies**

The source of energy that provides motivation for the evaluation of ethics in philanthropic strategies of charitable organisations in Mongu is the dire need for a policy framework and ethical guidelines to govern and guide philanthropic strategies of NGOs in the Mongu and the whole country. As stated in the introduction to this study, even as a country, “Zambia has had no national policy to govern the NGO (*Non-Governmental Organisation*) sector”, which includes charities, despite the influx of NGOs in the country since the 1850s (Ministry of Community Development and Social Services, 2018:1-2). It is, therefore, not known to what

extent are the ethical obligations of charitable organisations in the country honoured or dishonoured in the implementation of their philanthropic strategies. The last cited government source (Ministry of Community Development and Social Services) is the first and only exclusive policy document so far on the governance of NGOs in Zambia published in April 2018, although it is still undergoing review and does not contain an explicit ethical code of conduct for NGOs operating in the country. There is, therefore, a definite concrete felt need to have a form of evaluating the ethical aspects of philanthropic strategies.

As it were, the research findings are hereby valid within the specific time, space, and value context (Botes, 1991:22), but Burns and Grove (2009:29) also observe that by understanding the meaning of a phenomenon in its context, it becomes rather easier to understand phenomena in other similar situations. This is particularly applicable in the case of this study as the research problem is symmetrical with what is going on in the rest of the country. Therefore, there is a definite lacuna for which this research is purposed to make a positive contribution.

#### **5.4.7 Termination of evaluation of ethics in philanthropic strategies of charitable organisations**

Termination of an activity is linked to the achievement of its aim, which in this case is the alleviation of the plight of the poor and less privileged people in society in an ethically acceptable manner. As it were, the goals of philanthropy are to help communities rebuild, advance, become sustainable, and eliminate social and economic inequality. In other words, implies an augmented holistic evolution of the quality of life of the local people, meaning that it never really ends, but rather evolves, because contexts and data of society are constantly evolving too (Osmer, 2008:75; University of Exeter, 2017). The process of enacting the model hereby proposed is, however, meant to enhance self-determination among the recipients, which in this case is the ability to participate in the formulation and implementation of philanthropic strategies of NGOs in their community, as well as evaluate the ethical aspects of the respective NGOs. Therefore, it can be inferred that the process enacting the model proposed in this study will be terminated when the evaluation of ethical aspects of philanthropic strategies is evident between the community and charitable organisations. As

Gabriel (1991:4) writes, the momentum towards further developments depends on knowledge of the local people and their effects upon current developmental efforts.

#### **5.4.8 Relationship statements**

Relationship statements derive from the development of the relationships among concepts and usually give an indication of the structure of the developing model. Therefore, in view of the foregoing relationship among concepts, the following relationship statements apply:

- i. The agent of philanthropy (charitable organisation) is responsible for ethics in its philanthropic strategies and should, therefore, ensure ethical reflection from the outset and throughout the whole process because ethical inseparably part and parcel of philanthropy. Furthermore, the agent should also see to it that all its strategies are interwoven into the structures and systems of the respective communities so that they can be utilized sustained by the local community beyond the life of the project life in the community.
- ii. The recipient of philanthropic strategies is the local community as a whole, irrespective of the ages, genders, races, or statuses of its people who have their own individual and common true needs. As such, it is important for the agent – charitable organisation, to understand the holistic needs of the community so as to design and implement a philanthropic strategies that will address the real pressing needs of the community in a holistic manner.
- iii. The context in which philanthropic strategies are employed is a real-lifelong naturalistic setting with diverse cultural aspects and characteristics. As such, the agent needs to have a bird's-eye view of what is going on in the community in order to ethically formulate and implement a philanthropic strategy. In this regard, it is imperative for the agent to conduct pre-community research before moving into the community with a philanthropic strategy.
- iv. The techniques involved in the process are ethical reflection, community participation, defining community true needs (holistic real pressing felt needs), as well as formulating and implementing philanthropic strategies. Therefore, the agent should

work together with the local community to see to it that the techniques associated with ethics in philanthropy are fundamentally incorporated in the whole process, and this will also lead to the creation of a model for evaluating philanthropic strategies employed by charitable organisations.

- v. The whole aim of evaluating ethics in philanthropy is to alleviate the plight of the poor and less privileged people in society in an ethically acceptable manner. In a broader sense, it is to help communities rebuild, advance, become sustainable, and eliminate social and economic inequality.
- vi. Hence the common underlying need for policy framework and ethical guidelines to govern and guide the philanthropic strategies of NGOs in the district and country at large is what provides motivation for the evaluation of the ethical aspects of philanthropic strategies of charitable organisations.
- vii. For the sake of effectiveness, a representative work group (for example of eight to twelve people) is purposively selected from among members of the community, NGOs, and government officers in line ministries to practically model out the evaluation of ethical aspects of philanthropic strategies of charitable organisations operating in Mongu district. Of course, this will be only a slice in time, as it would take too long to determine the success and sustainability of the proposed model in the long term.
- viii. The process of enacting the model proposed in this study will be terminated when the participants in the work group exhibit the ability to participate in the formulation, implementation, and evaluation of ethical aspects of philanthropic strategies employed by NGOs in their community. As it were, the momentum towards further developments depends on knowledge and ability of the local people and their effects upon current developmental efforts.
- ix. The researcher accepts the fact that this will be only a slice in time, but the study would have achieved its objectives in the sense that the local people would have participated in the formulation, implementation, and evaluation of ethical aspects of NGOs in their community. Furthermore, this achievement also ensures success and

sustainability of the current and future projects according to Abiche (2004:27) and Gabriel (1991:4). Accordingly, the momentum towards further developments depends on knowledge of the local people and their effects upon current developmental efforts.

- x. Evaluating ethics in philanthropy is an evolving lifelong process as contexts and data of society also evolve with time. Therefore, the propose model should also have the ability to evolve, in order to attend to the evolving contexts and data of society effectively.

So far, the practical guidelines for local charitable organisations in respect of the insights drawn from the relationships among concepts reveal that the model proposed by this research focuses on ethical reflection as the central and guiding concept of evaluating ethical aspects of philanthropic strategies employed by charitable organisations. This is also what anchors the model within a social work perspective and provides its unique contribution to social work. The model also shows how social work contextually and practically engages with other communities of experience and interpretation to guide the philanthropic strategies of charitable organisations towards holistic and ethically sound ends (Browning, 1991:36).

## **5.5 DESCRIBING THE MODEL**

In research, a model can be referred to as a pictorial or graphic representation of key concepts of a phenomenon (Khan, 2015). According to Rosenblatt (1994:1057), a model is an abstraction or generalised pattern devised in order to think about a subject. Whereas a strategy is the process used to approach a particular problem, a model is a more abstract way of schematising a process so that the strategy can be generalised to solve similar problems in other similar situations (Taylor, 2015).

Although relationships among concepts are expected to give an indication of the structure or form of a model, sometimes it is still difficult to identify the structure even after establishing the relationships amongst concepts, especially if the relationships are complex and unclear (Chinn & Kramer, 1995:113 -114). In such a case, some guiding questions such as proposed by the just cited author would aid the researcher to structure a model as follows:

- i. Which relationship is most central?
- ii. What is the direction, strength, and quality of this relationship?
- iii. Can a model be drawn up to represent the structure of this relationship?
- iv. In what order does the relationship occur?
- v. Does this relationship consolidate or distinguish the concepts?

As soon as the structure of the central relationship is defined, the researcher will start to incorporate other relationships within the structure. Questions that will aid the researcher in this process are:

- i. How do the secondary relationships link to the central one?
- ii. Can all relationships be shown by the structure?
- iii. Does the structure take on a multiple form?
- iv. Have competitive or shared structures been suggested by the relationships?
- v. Can parts of the structure be illustrated through the use of diagrams?

As the relationships are explored, the structures of the model and the individual components will begin to emerge. A recognisable structure is essential to a theory because structure flows from relationships (Chinn & Kramer, 1995:115). After establishing the major and secondary relationships, the researcher will describe a structure to represent the model in its entire form. As a strategy to formulate the description of the model, the researcher will make use of the following six questions as suggested by Chinn and Kramer (1995:117):

- i. What is the purpose of the model? (This question addresses why the model was formulated and reflects the context and the situation to which the model can apply).
- ii. What are the concepts of the model? (It questions the qualitative and quantitative dimensions of concepts).
- iii. How are the concepts defined? (This question focuses on the meaning of the concepts within the model and the empiric value of the concepts).
- iv. What is the nature of the relationships? (How are concepts linked together?).
- v. What is the structure of the model? (This question addresses the overall form of the conceptual relationships).
- vi. On what assumptions is the model built? (This question addresses the basic truths that underline the theoretic reasoning of the study).

The model will finally be evaluated by making use of the critical reflection on theory in accordance with Chinn and Kramer (1995:126-137); and Walker and Avant (1995:135). Accordingly, the fivefold criterion to be employed comprises clarity, simplicity, generality, accessibility, and importance. Following is a brief discussion of each of these criteria.

#### **i. Clarity**

Semantic clarity, semantic consistency, structural clarity, and structural consistency of the model are to be considered in evaluating the clarity of a model. Semantic clarity hereby implies that similar empiric realities will come to mind when different people read the model. This is achieved when the key concepts in a model are defined, through minimal use of words, and appropriate use of examples and diagrams. Semantic consistency happens when concepts of the model are used consistently with their definitions. Structural clarity becomes evident when concepts are interconnected and organised into a coherent whole, while structural consistency occurs when the structural forms within a model act as a conceptual map that enhances clarity.

#### **ii. Simplicity**

This is achieved by using the minimum elements and relationships in the structural diagram of the model, while the core concepts supporting the purpose of the model are self-evident.

#### **iii. Generality**

Generality of the model implies the extent to which the model can be implemented in a broader and similar situation as was intended by the study initially. Generality also refers to the soundness of the research evidence as well as its scientific validity and social values (TRREE a, 2014:8).

#### **iv. Accessibility**

The model and theory generated through the research should be useful in promoting the goal of the model, namely the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations.



## v. Importance

The importance of a model has to do with its applicability and practical value, because the aim of social research is to make valuable contributions to organisations and communities (Yarbrough *et al.*, 2011). By implication, there ought to be a rational relationship between explanatory theory and empirical evidence of the research (Payne, 2014:4).

### 5.5.1 Overview of the model

The model presented compresses the concepts and relationship amongst concepts that have resulted from a synthesis of all the preceding research tasks with regard to the topic under investigation. As it were, conducting of a research must construct its own theory (Bamberger *et al.*, 2012:301; Bryant and Charmaz, 2008:523). As such, a description of the structure and process of the model is provided, as well as its operationalisation.

The overview of the model is hereby presented, which the researcher refers to as “*ethical philanthropy*” and this is followed by its structural explanation and evaluation.

**Figure 5.1**



### 5.5.2 Purpose of the model

The purpose of the model is to provide a framework that will guide both the community and charitable organisations in evaluating the ethical aspects of philanthropic strategies employed by charitable organisations operating in the community. This is an important

aspect because the goals of philanthropy within social work are to help communities rebuild, advance, become sustainable, and eliminate social and economic inequality (Van Aken, 2021) as earlier mentioned in chapter four (section 4.3.4.1). Consequently, the model focuses on the evaluation of ethical aspects of philanthropic strategies by charitable organisations. As such, ethical reflection is perceived to be central in the evaluation of the ethicality of philanthropic strategies by the charitable organisations.

The ethical evaluation process is also based on the concept of community participation as identified in the problem statement (Section 1.3.2), empirical research (4.3.3.2a), as well as a technique associated with the evaluation of ethical aspects of philanthropic strategies by charities (Sections 5.4.1.1 & 5.4.4). Accordingly, the sustainability of any community project also inextricably depends on community participation in the project planning, implementation, and decision-making. Therefore, it is inevitable that charitable organisations should ensure full community participation from the outset in the planning and implementing philanthropic strategies. The whole process builds on community participation and revolves around ethical reflection throughout.

### **5.5.3 Definition of concepts in the model**

It is imperative to define the concepts in the model in order to develop a robust and intelligible description of the model. Accordingly, the concepts in the model comprise the central and associated concepts, or primary and secondary concepts, as hereafter presented and defined.

#### **5.5.3.1 Ethical reflection as the central concept of evaluating ethical aspects philanthropic strategies employed by charitable organisations**

“Ethical reflection” is central to evaluation of ethics in philanthropy as per the model hereby proposed. For instance, it is unethical to implement any philanthropic strategy without the community participating in identifying their needs. As it were, ethical reflection” is the use of ethical principles, rules, or guidelines to guide action toward moral ends (Osmer, 2008:161). And this is not a matter of importing ethics into the research or problematic praxis, but rather the recognition that ethical norms and values already are part of any project process (Osmer, 2008:149), which in this case is any philanthropic strategy. As such, the application of such

ethics does not only occur at the end of a strategy, but is present from the outset and influences it throughout (Browning (1991:39). Hence ethical reflection is central in the model.

As such, even though Zambia as a country has had no policy to govern NGOs from pre-colonial era, it is still possible and imperative to evaluate ethical aspects of philanthropic strategies employed by charitable organisations through ethical reflection on universal ethical principles so that the respective organisations and moral communities can test their practices and norms against universally acceptable ethical standards (Osmer, 2008:49).

Everything else in the model revolves around ethical reflection. What the model then proceeds to do hereafter is to give guidelines of how the reflection on universal ethical principles and standards can best guide philanthropic efforts and resources by incorporating other significantly related concepts from the synthesis of the preceding research tasks.

### **5.5.3.2 Community participation**

From the perspective of social work, community participation is the foundational principal of any community transformation process (Tesoriero, 2010:144). Right from the problem statement (Section 1.3.2) it is clear that charitable organisations have a critical role to play in the promotion of citizen participation in developmental undertakings such as philanthropic strategies (Candid, 2019). As stated in section 2.5.3.2b of this research, it is imperative for local communities to fully participate in both the formulation and implementation of philanthropic strategies intended for them, rather than merely trying out foreign concepts without due adherence to their autonomous identity and local context dynamics. Charitable organisations should, therefore, ensure that their strategies and everything they do to help individuals and communities is interwoven into the structures and systems of the respective communities so that they can be utilised and sustained by the local community beyond the life of the project in the community.

Suffice it to recapitulate again the direct words of one of the respondents in this regard as follows:

*“So, whatever we do, we do it with proportionate, fare, symmetrical, local development towards sustainability. Basically, what we do, after we’re gone the result should be well*

*aligned, so well aligned with the local systems that the people should be able to work with it sustainably and it should be so well integrated into the local system because these are things of the local society. It should be in the fibres of the society so that it will continue being utilised and being developed by the local people...” (P13).*

Lack of community participation in the charities' philanthropic strategies is also identified as one of the main reasons the charitable organisations in Mongu failed to make positive impact in the communities where they operate as per empirical research results (Section 4.3.3.2a). As a foundational principal, community participation holds together and sustains the process and efforts of any philanthropic strategy. As such, the evaluation of ethical aspects of philanthropic strategies is also based on community participation as earlier identified in the problem statement (Section 1.3.2), empirical research. Accordingly, the sustainability of any community project inextricably depends on community participation in the project planning, implementation, and decision-making. As with ethical reflection, charitable organisations should ensure full community participation from the outset in the formulation and implementation of philanthropic strategies. Said another way, the whole process builds on community participation and revolves around ethical reflection. This is clear depicted in the model proposed hereby proposed by the researcher.

### **5.5.3.3 Community True Needs**

These must be concrete felt needs by the local people themselves, not only by a specialist external expert. Key to effective philanthropic strategies is accurate understanding of the true needs of the target population or community (Goutier, 2020; Sticker, 2022:432-434). As such, needs identification is a pre-requisite for action and local people must be involved in identifying their own needs (Adejumobi, 1990:226; Jeppe, 1985:28). Just as community transformation is about addressing the true needs of the affected people, so is ethical philanthropy.

During the interviews, participants expressed their real pressing problems and felt needs as presented in theme two of the empirical research results (Section 4.3.2). Apparently, it was also clear that the charitable organisations operating in Mongu did little or nothing to ensure that their philanthropic strategies addressed the true needs of the local people in the communities. For example, one of the participants puts it is as follows:

*“Generally, overall, I’d say NGOs usually come with their own predefined, or predetermined idea... So, you may find, these are services or support services that are more, NGO driven, and not necessary community driven. So they seem to be imposed on the people. So, when services like that are imposed, then we have a problem. They tend to have little acceptance from the people.” (P18).*

Some participants further expected the charitable organisations to conduct thorough research to identify the real pressing problems and felt needs of the people rather than just moving in with philanthropic strategies that do not address their community needs.

A common problem in community transformation strategies such as philanthropy is who determines what the needs are. As Gabriel (1991:4) writes, the momentum towards another development depends upon knowledge of indigenous power structures and their effects upon developmental efforts. Outsiders assuming responsibility for planning, funding, and implementation of developmental activities such as philanthropic strategies usually display scant knowledge of how their target communities live (Gabriel. 1991:1). It is, therefore, important that indigenous knowledge of human thought and behaviour is taken into consideration when identifying community needs and, therefore, the local community must be involved in identification of their own true needs from the outset.

#### **5.5.3.4 Philanthropic strategies**

As earlier stated (Sections 1.3.2 and 5.4.2), within the context of this study, the concept of philanthropic strategies entails alleviating the plight of the poor and less privileged people in society through ethically acceptable means (Mahrik, 2017:136). “Ethicality” is thus seen as the desired means of effecting philanthropic strategies by charitable organisations.

Suffice it to recapitulate that the relevance of any community transformation strategy, which in this case is philanthropy, is tied to the true needs of the particular community that it seeks to address (Swanepoel and De Beer, 2015:47). As such, a relevant philanthropic strategy should actually address the real concrete felt needs of the target community through ethically acceptable means and standards. Contrary to literature review expectations, the empirical research revealed that the ethicality of philanthropic strategies by NGOs in Mongu was compromised by the self-centered actions of NGO officials that were aimed at improving their

own economic statuses (Section 4.3.3.2b). The participants cited the negative aspirations of different roles players to achieve personal gain or individual agenda as a reason for the failure of charitable organisations to make impact in Mongu. In addressing these negative vices, fundamental ethical principles such as social justice, human rights, collective responsibility, and respect for diversities should underpin any philanthropic strategy.

## **5.6 EXPLANATION OF THE STRUCTURE OF THE MODEL**

To aid the explanation of the structure of the model, it will be dissected into its constituent parts and remarks will be made on each part displayed.

### **5.6.1 Ethical reflection**

Just as typically centrally positioned in the model, ethical reflection is the central concept and motivating factor the evaluation of ethical aspects of philanthropic strategies implemented by charitable organisations. Even though Zambia as a country has had no policy to govern NGOs from the pre-colonial era, it is still imperative to evaluate the ethical aspects of philanthropic strategies employed by charitable organisations through ethical reflection on universal ethical principles in order to allow the respective organisations and moral communities to test their practices and norms against universally acceptable ethical standards. So, it all starts and ends here.

### **Figure 5.2 Ethical Reflection**

#### **Ethical Reflection**

The rest are significantly associated concepts that anchor and evolve around the central concept, respectively, and assist to make effective the evaluation of the ethical aspects of philanthropic strategies employed by charitable organisations such as those operating in Mongu.

## **5.6.2 Community participation**

Community participation is strategically portrayed at the baseline in the model because it is the foundational principal of any community transformation process (Tesoriero, 2010:144). The sustainability of any community project also inextricably depends and builds on community participation in the project planning, implementation, and decision-making (Abiche, 2004:27).

### **Figure 5.3 Community participation**

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#### **Community Participation**

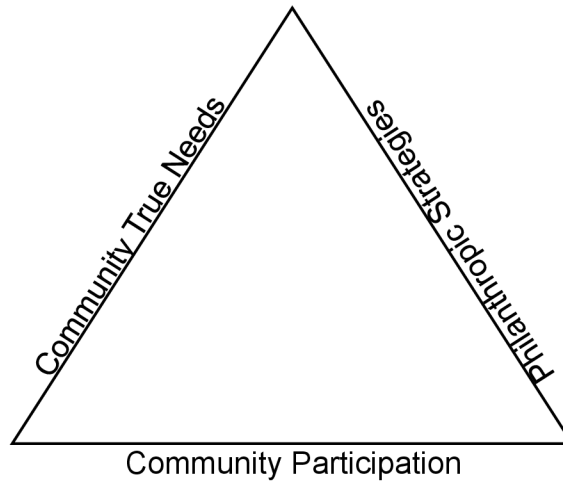
As such, it is imperative that the model builds on community participation in order to be sustainable and capable of addressing new or future challenges.

### **5.6.3 Community True needs and Philanthropic Strategies**

Key to effective philanthropic strategies is accurate identification and understanding of real pressing problems and felt needs of the target population or community (Goutier, 2020). This is a pre-requisite for action and local people must be involved in identifying their own needs (Adejunmobi, 1990:226; Jeppe, 1985:28). Philanthropy is all about addressing true needs of the people as per Kantian ethics (Sticker, 2022:432-434). Therefore, the relevance of any community transformation strategy, which in this case is philanthropy, is tied to the concrete felt needs of the particular community that it seeks to address (Swanepoel and De Beer, 2015:47).

In the model, community true needs and the philanthropic strategies are meeting because there can be no ethical or indeed any meaning philanthropic strategy that is not 'bent' towards addressing community true needs. That is why at the bottom of it the local community should be participating fully even in the identification of their own needs for the whole process to be ethical, effective and sustainable.

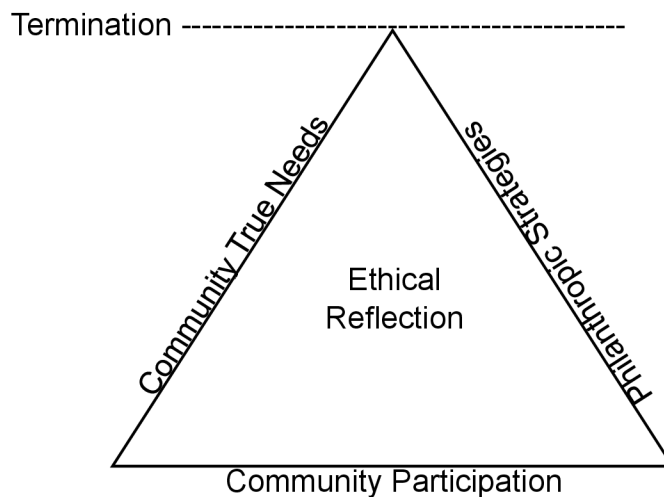
**Figure 5.4 Community True Needs and Philanthropic Strategies**



**5.6.4 Termination of the evaluation process**

As it were, evaluation of ethical aspects of philanthropic strategies itself is a continuous process as long as charitable organisations are operating in communities. However, in the case of a project where the model is implemented, the process of enacting the model proposed in this study will be terminated when the evaluation of ethical aspects of philanthropic strategies is evident between the community and charitable organisations.

**Figure 5.5 Termination of evaluation process**



As an indicator, at this stage it is expected that the participants will also have the ability to participate in the formulation and implementation of philanthropic strategies employed by



charitable organisations in their communities so as to be able to appropriately evaluate their philanthropic strategies appropriately. This is a necessary requirement for termination because the momentum towards further developments depends on knowledge of the local people and their effects upon current developmental efforts (Gabriel, 1991:4).

## **5.7 ASSUMPTIONS OF THE MODEL**

Assumptions are basic givens or accepted truths that are fundamental to a model and they may take the form of factual assertions or reflect value positions (Chinn & Kramer, 1995:116). Factual assertions are statements that are based on or affirm facts, while value assumptions refer to what is viewed as right, good, or what ought to be (Chinn & Kramer, 1995:116). According to Borg, et al. (1993:197), all research is value-laden and, instead of trying to avoid the issue of value, the researcher needs to make these values very clear. As such, the assumptions of the model are discussed hereafter.

- i. The primary assumption of the model hereby proposed is that an evaluation of ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu will enhance ethicality and professionalism of the charitable organisations and optimise benefits to the local community through ethically acceptable means. This assumption is also in tangent with the hypothesis of the research that this model represents.
- ii. The central concept in the development of a model for evaluating ethical aspects of philanthropic strategies by charitable organisations is ethical reflection with universal ethical principles and standards.
- iii. The agent of ethics in philanthropy is any charitable organisation that operates in a given area, which in this case is implies charitable organisations operating in Mongu.
- iv. The energy that provides motivation for the evaluation of ethical aspects of philanthropic strategies by charitable organisations is that there has policy to govern charitable organisations in the local context of the research, which is also the case with the wider context as the country of Zambia.

- v. The community's (recipients') true needs as expressed by participants in the research is further motivation to engage with the agent in the coming up with a model for evaluating the ethical aspects of philanthropic strategies by charitable organisations operating in the community.
- vi. Facilitating the evaluation of philanthropic strategies by charitable organisations involves: ethical reflection as the central concept, community participation as a foundational principle, as well as community needs being met by philanthropic strategies.
- vii. In the process of facilitating, the agent also enhances its ethicality and professionalism.
- viii. Evaluation of ethical aspects of charities is a lifelong process. This model represents only a slice in time, as it would take too long to determine the success of the evaluation process in the long term. In spite of this, the study would have succeeded in achieving its objectives as the community (participants) would exhibit an ability to participate in the formulation and implementation of philanthropic strategies employed by charitable organisations in their communities so as to be able to evaluate their philanthropic strategies appropriately.

## **5.8 EVALUATING THE MODEL**

Peer review, member checking, and triangulation of data and data sources were earlier identified and mechanisms to bolster credibility of this research (Sections 3.5.4, 3.2.1.4, & 3.3.1.3). These, together with Chinn and Kramer's (1995:126 -137) criteria, namely: clarity, simplicity, generality, accessibility, and importance will be used to evaluate the model.

### **5.8.1 Peer review**

With regards to peer review, the whole research process leading up to the construction of the model has been overseen by the study promoter, who is an expert in pastoral theology

and caritas theory, as well as several others who provided professional guidance in various seminars informing the study.

### **5.8.2 Member checking**

During member-checking, participants confirmed the reasonableness of the researcher's interpretations drawn from the data. The researcher thanked the participants and promised them that at the time of reporting and dissemination of research findings, he would also make known to them the complete action guiding model for the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations.

### **5.8.3 Triangulation**

On triangulation, suffice it to state that the model has been constructed from a synthesis of the concepts developed from the data and data sources of all the preceding research tasks. Furthermore, it (the model) is also informed by two theories that are relevant to the topic under study according to the research results and broader scope of the research, which meets the criterion of triangulation and bolsters credibility of the model.

### **5.8.4 Clarity**

Clarity of the model entails meaningful and consistent usage of ideas and concepts within the model. In order to meet this criterion, all the concepts in this model have been defined and linked in such a way that their relationships are clearly understood. The definitions and their structural forms have been used consistently and were continuously evaluated to ensure that semantic and structural clarity are preserved.

### **5.8.5 Simplicity**

This is evidenced by the minimum use of elements in the model as the main concepts sufficiently support the purpose of the model and are self-evident. No new and unimportant concepts have been introduced.

### **5.8.6 Generality**

Generality hereby implies the extent to which the model can be implemented in a broader and similar situation as initially intended by the study. As evidenced by the guiding concepts in the model itself, this model can be implemented in other broader situations, whether in rural (village) or urban (city) settings. For instance, the central concept of ethical reflection is universal, and so are the significantly associated concepts of community participation, community needs, and philanthropic strategy.

The concept of generality also implies the social value (usefulness) as well as scientific validity and rigour of the constructed model (See section 1.8). As such, the researcher is under the impression that this study will also contribute to the understanding of social work with regards to ethics in philanthropy from the unique context the charitable organisations operating in Mongu district of Western Zambia. As it were, research findings are valid within their specific time, space, and value context, but also understanding the meaning of a phenomenon in its context makes it rather easier to understand phenomena in other similar situations (Botes, 1991:22; Burns and Grove, 2009:29).

Finally on this criterion, the inclusiveness nature of the model also enables it to evolve and attend to new challenges pertaining to ethics in philanthropy as the context and data of the community evolve over time.

### **5.8.6 Accessibility**

The model and respective theory generated through this research are useful in promoting ethics in philanthropy. The model focuses on the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations, which as agents of philanthropy, should reflect on universal ethical principles and standards throughout the formulation and implementation of their philanthropic strategies. For, instance, it would be unethical to embark on philanthropic strategy without community participation. Hence a great contribution of this model to the field of philanthropic social work is its focus on ethical reflection as the central concept in evaluating ethical aspects of philanthropic strategies employed by charitable organisations.

### **5.8.7 Importance**

The importance of a model has to do with its applicability and practical value. As per its design, this research is an evaluation of the ethical aspects of charitable organisations operating in Mongu and, as indicated from the outset, it has been prompted by the lack of (need for) policy framework to guide the ethical aspects the charities' philanthropic strategies. Accordingly, results of the empirical research strongly confirm the researcher's supposition in the fifth chapter of the proposed structure of the dissertation, namely, to develop action-guiding models aimed at developing a new praxis and model that will guide the evaluation of ethical aspects of philanthropic strategies of charitable organisations (Sections 1.9, 3.2.1.2 and 3.2.1.3).

Furthermore, member checking and peer review during data collection and final reflection on the whole process have also served to ensure that the development of the model was credible, relevant, and applicable.

As such, the researcher hereby considers the model to be important because it has potential to yield positive and practical results in the context where it was developed. Subsequently, it also has potential to yield positive results in other similar contexts because understanding of a phenomenon in its context makes it rather easier to understand phenomena in other similar contexts (Burns and Grove, 2009:29).

## **5.5 CONCLUDING PERSPECTIVES ON CHAPTER 5**

In this chapter, the researcher has endeavoured to develop and present a new praxis and model to guide the evaluation of ethical aspects philanthropic strategies charitable organisations such as operate in Mongu district of Western Zambia. As it were, theory in social work does not only inform practice but is also developed from practice and, therefore, it is also evidence based. Therefore, discussions of empirical research findings have been connected with theoretical perspectives in the research in order to promote evidence-informed (or evidence-based) practice with theory-informed practice. As such, this chapter has focused on developing a model for evaluating ethical aspects of philanthropic strategies

employed by charitable organisations operating in Mongu, based on both empirical and theoretical discourses of the study.

Firstly, a summary of perspectives from the preceding theoretical and empirical research tasks was presented so to establish a guiding framework for the development of action-guiding models that would lead to a new praxis and model to guide the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations. Subsequently, a synthesis of the preceding research tasks with regard to the topic under study resulted into four (4) main concepts and thirty-five (35) sub-concepts, which form an action-guiding model for evaluating ethical aspects of philanthropic strategies employed by charitable organisations.

In order to maintain the scientific rigour of the research process, a schematic presentation of the main concepts and their respective sub-concepts has been presented. Furthermore, the relationship between concepts has been established by adhering to Dickoff *et al.*'s (1968:434-435) survey list of questions, which led to the description and construction of the model.

An important concept of this research is that within social, which is the conceptual guiding framework of the study, the goals of philanthropy are to help communities rebuild, advance, become sustainable, and eliminate social and economic inequality. Consequently, the development of a model for the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations operating within the local community will thus be seen as a definite or desired impact of the efforts charitable organisations.

Furthermore, in this chapter the researcher has judiciously highlighted ethical reflection the central concept in the evaluation of the ethics in philanthropy. This is also what anchors the model within a social work perspectives and where the study makes its unique contribution to social work. What the model then proceeds to do is to provide guidelines on how the charitable organisations can best direct their efforts and resources toward alleviating the plight of the poor in an ethically acceptable manner by integrating the other significantly related concepts. Finally, the researcher has presented the structural explanation, assumptions, and evaluation of the constructed model for the evaluation of ethical aspects

of philanthropic strategies employed by charitable organisations such as operate in Mongu district of Western Zambia, which he refers to as ethical philanthropy.

The last chapter will discuss the summary, limitations, recommendations, and implications for further research, with regard to the topic under study.

## **CHAPTER 6**

### **SUMMARY PERSPECTIVES, LIMITATIONS, RECOMMENDATIONS, AND IMPLICATIONS FOR FURTHER RESEARCH**

#### **6.1 INTRODUCTION**

This final chapter brings the current study to a close and also provides an opportunity to demonstrate whether the aim and objectives of the study as stated in chapter one have been achieved or not (Coughlan *et al.*, 2007:12-13). According to the just cited author and Russell (2005:61-64), the discussion in the concluding part of research should flow naturally and logically from the empirical data and be related to the respective explanatory theory. The researcher will therefore give a summary and evaluation of the study, limitations experienced, make recommendations, and suggest areas for further research as emerged from the findings.

#### **6.2 SUMMARY AND EVALUATION**

A concise summary and evaluation of the study is hereby presented.

##### **6.2.1 Chapter 1: Overview of the Study**

The overall aim of the research has been to evaluate the ethical aspects of philanthropic strategies employed charitable organisations operating in Mongu district of Western Zambia. Accordingly, this study has been prompted by the fact that very little or nothing is known about the ethical aspects and operating strategies of charitable organisations in Mongu district despite an influx of such organisations in the area. Furthermore, even as a country, “Zambia has had no national policy to govern the NGO (*Non-Governmental Organisation*) sector”, which includes charities, despite the influx of NGOs in the country since the 1850s (Ministry of Community Development and Social Services, 2018:1-2). It is, therefore, not known to what extent are the ethical obligations of charitable organisations in the country



honoured or dishonoured in the implementation of their philanthropic strategies. The study has been conducted in the respective area where charitable organisations have been operating from precolonial times in order to endorse its relevance and practicality, because the aim of social research is to make valuable contributions to organisations and communities (Yarbrough *et al.*, 2011).

It is the foregoing background that strongly suggested the need for evaluating the ethical aspects of charitable organisations that operate in Mongu district of Western Zambia.

As a prerequisite, the research topic was also introduced in chapter one and contextualised by developing a background and problem statement. The researcher gave an overview of the town of Mongu in terms of its political recognition (capital of Western Province or Barotseland), land mass, population, and poor state despite an obvious influx of charitable organisations in the area from precolonial times. Both local and global trends that had resulted in a renewed interest ethical aspects of philanthropic strategies of charitable organisations were discussed in this chapter. As such, the purpose of undertaking the study was spelt out; the objectives, research questions, and the research design to be used were all introduced in chapter one.

The central research question was: **How can we evaluate the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district of Western Zambia?**

In order to address the central research question satisfactorily, the following sub-questions had to be appropriately answered:

- iii. What kind of theoretical perspectives could enrich our understanding of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu?
- iv. Which perspectives could be descriptive-empirical evidence of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu?
- v. What kind of critical pragmatic reflection will constitute a model for the ethical evaluation of philanthropic strategies employed by charitable organisations in Mongu?

The concept of “philanthropic strategies” in this study and context entails alleviating the plight of the poor and less privileged local people in an ethically acceptable manner (Mahrik, 2017:136). This is in accordance with the primary concept of philanthropy that is also upheld by religious didactics of human wellbeing, the good life, good society, and transformation of the world (De Wet, 2011:7-8). For instance, Christianity’s biblical teaching in Matthew 25:35-40 urges humans to attend to the needs of the vulnerable and less privileged people in society. Commenting on the just mentioned Christian pericope, Adeyemo (2006:1164) ultimately states that Christians are supposed to respond to needs in a holistic manner. Hale (2000:121) also comments concerning the same portion of Scripture that Christians should serve Christ by attending to the needs of others, especially those who are poor and less privileged. “Ethicality” in this case will be seen as a desired means of effecting philanthropic strategies of charitable organisations operating in Mongu district.

The theoretical framework for the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu was based on an interdisciplinary perspective of theological and sociological discourses comprising pastoral theology, social work, and common law.

Throughout the study the researcher has sought to achieve the following specific objectives:

- i. To determine, through literature review in the broader spectrum, the theoretical perspectives that could enrich our understanding of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu.
- iii. To discover, through an empirical investigation, perspectives that could be descriptive-empirical evidence of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu.
- iv. To develop, through critical pragmatic reflection on the findings of the preceding objectives, a model to guide the ethical evaluation of philanthropic strategies employed by charitable organisations.

A summary of the extent to which each objective has been achieved is hereafter presented according to the corresponding chapters.

## 6.2.2 Objective i: Chapter 2

Accordingly, chapter 2 dealt with the operationalisation of charitable organisations operating in Mongu district of Western Zambia. The task involved literature review in the broader spectrum in order to reveal theoretical perspectives that could enrich our understanding of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu. Accordingly, the researcher explored in details the concepts of charity and charitable organisations, identified the types of charitable organisations operating in Mongu, historical development of charity law, and theoretical framework for the ethical evaluation of philanthropic strategies employed by charitable organisations operating in Mongu district.

Accordingly, the word “*charity*” has got its roots in the Bible and it underlines the idea of “*diakonia*” in Protestant theology, while in Catholic theology it embraces the “*caritas theory*” (Opatrný, 2020:301; Šimr, 2017). The contemporary central message of both *diakonia* and *caritas theory* is a reflection on the church’s charitable praxis, which is synonymous to social welfare services by the church. Somewhere in the mid-1800s, establishments called charitable organisations were set up and they consisted of church personnel and volunteers who were designated to help to the poor, homeless, and severely ill people in society (Garcia-Irons, 2018:1-7). The principles underlying these early social work practices were founded on the biblical idea of charity.

The meaning of charitable organisations and charitable purposes is not defined in statutes, but at common law and the common law definition is mainly based on the Preamble to the Statute of Charitable Uses enacted by the English Parliament in 1601 (also known as the Statute of Elizabeth) and *Commissioners for Special Purposes of Income Tax v Pemsel* (1891:5) ALL ER Rep 28 (Pemsel’s case). As per Pemsel’s case, any common law definition of charity requires that a charity have a charitable purpose and be for the benefit of the public. As Gousmett (2009:23) writes, the four principal divisions of charitable purpose in Pemsel’s case of 1891 has been the key criterion against which charitable activity is measured. The Zambian government’s definition of a charity, which is synonymous to an NGO, as cited in chapter one, to a greater extent also adheres to the Pemsel’s case criterion of charitable purpose.

To rightly categorise charitable organisations, one needs to look at the different functions that they perform and the sectors they support. The types of charitable organisations found in Mongu have been identified as international NGOs and FBOs.

Understanding the historical development of charity law is necessary for its correct application as the current definition of charity and charitable purpose is based on over four hundred years of common law since the Statute of Charitable Uses 1601. Therefore, it is important to understand the historical background of this law because the evolution of charity law around the Statute of Charitable Uses 1601 still resonates in law to date. As such, it forms an important framework for the topic of this research too.

Finally, in chapter 2 the researcher located the theoretical framework for the ethical evaluation of philanthropic strategies by charitable organisations such as operate in Mongu within an interdisciplinary perspective of theological and sociological discourses comprising pastoral theology, social work, and common law.

### **6.2.3 Objective ii: Chapter 3 & 4**

The research design, method, as well as all related techniques and procedures with regard to the subject under study were discussed in details in chapter 3. Strategies to ensure trustworthiness of the research process and ethical aspects received particular attention as well. The resultant qualitative research report would finally elucidate the complexity of the phenomenon being studied and give an emic view of the research participants with regard to the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu.

The research results were thoroughly discussed in chapter 4 and all participants were selected according to the criteria described in the research design (Section 3.3.1.4), namely Mongu resident for at least five years, NGO official, and government official in a line ministry. The researcher adhered to gender representativeness as well as inclusion of young people in the research interviews. Furthermore, the researcher followed a multi-method approach (interviews, field notes, observations, and triangulation) in order to come up with a rich and meaningful description of the philanthropic strategies employed by charitable organisations that operate in Mongu.

All respondents expressed dissatisfaction at the philanthropic strategies employed by charitable organisations in Mongu. As such, there was need to review the praxis of the said charities and thus evaluate the ethicality of their philanthropic strategies.

Therefore, two relevant theories were employed to evaluate the ethicality of the research results with regard to the philanthropic strategies employed by charitable organisations in Mongu. The identified theories are, Kant's moral theory and African traditional philosophy of Ubuntu. The evaluation of the research results against the two theories revealed ethical violations that are, but not limited to, violation of an ethic of love, using people as means instead of as ends in themselves, not addressing true needs of the people, unequal treatment of clients, and untruthfulness. There was, therefore, need for an ethical review of the philanthropic strategies by charitable organisations operating in Mongu from time to time.

### **6.2.5 Objective iii: Chapter 5**

In chapter 5, the researcher endeavoured to develop and present a new praxis and model to guide the evaluation of ethical aspects of philanthropic strategies of charitable organisations such as operate in Mongu district of Western Zambia. As it were, theory in social work does not only inform practice but is also developed from practice and, therefore, it is also evidence based. Therefore, discussions of empirical research findings were related to theoretical perspectives in the study in order to promote evidence-informed (or evidence-based) practice with theory-informed practice. As such, this chapter focused on developing a model for evaluating ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu, based on both empirical and theoretical discourses of the study.

Firstly, a summary of perspectives from the preceding theoretical and empirical research tasks was presented so to establish a guiding framework for the development of action-guiding models that would lead to a new praxis and model to guide the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations. Subsequently, a synthesis of the preceding research tasks with regard to the topic under study resulted into four (4) main concepts and thirty-five (35) sub-concepts, which form an action-guiding model

for evaluating ethical aspects of philanthropic strategies employed by charitable organisations.

In order to maintain the scientific rigour of the research process, a schematic presentation of the main concepts and their respective sub-concepts was presented. Furthermore, the relationship between concepts has been established by adhering to Dickoff *et al.*'s (1968:434-435) survey list of questions, which led to the description and construction of the model.

An important concept of this research is that within social, which is the conceptual guiding framework of the study, the goals of philanthropy are to help communities rebuild, advance, become sustainable, and eliminate social and economic inequality. Consequently, the development of a model for the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations operating within the local community is thus seen as a definite or desired impact of the efforts of charitable organisations.

Furthermore, in chapter 5, the researcher judiciously highlighted ethical reflection as the central concept in the evaluation of the ethics in philanthropy. This is also what anchors the model within a social work perspectives and where the study makes its unique contribution to social work. What the model then proceeds to do is to provide guidelines on how the charitable organisations can best direct their efforts and resources toward alleviating the plight of the poor in an ethically acceptable manner by integrating the other significantly related concepts. Finally, the researcher presented the structural explanation, assumptions, and evaluation of the constructed model for the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations such as operate in Mongu district of Western Zambia, which he refers to as ethical philanthropy..

### **6.3 LIMITATIONS**

Although the study succeeded in attaining its stated objectives, it is imperative to highlight that there were limitations that the researcher experienced as outlined hereafter.

### **6.3.1 Non availability and scepticism of some participants**

Not all the targeted participants were available for the interviews, especially from among officials of charitable organisations, while some community members refused to be interviewed as individuals and opted to be interviewed in form of group discussions. As such, the researcher had to conduct interviews with community members and officials who were available until data saturation occurred. It is, however, not known what the views of those who were not present would have been and to what extent they would have influenced the discussions had they been available.

### **6.3.2 Specific literature based on the research context**

No literature on ethics in philanthropy based on the Mongu area was available to the researcher, at least not on the topic of this research. As such, the researcher alleges that no other prior study had ever been conducted either on the topic of this research or on any philanthropic strategies in Mongu town. A study by Vinya *et al.* (2012) on the forest sector in Zambia only hinted on the role of charitable organisations in environmental protection, but it was nowhere near ethical aspects of philanthropic strategies at all. As such, the researcher relied mainly on the gathered data as well as other relevant literature concerning philanthropic strategies employed by charitable organisations in general in order to achieve the research objectives.

It is, therefore, commonplace for the researcher to speculate that the foregoing limitations could have inhibited valuable contributions to the research process and the subsequent model for the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations.

## **6.4 RECOMMENDATIONS**

Based on the research findings, the researcher hereby recommends the following:

- i. As the conducting of the research and development the model is not enough own its own to bring about the desired ethicality and professionalism of the philanthropic

strategies employed by charitable organisations. There is need to practically implement the model in the actual context of the research and other selected similar contexts in order to endorse its practicality and usefulness, and, ultimately, realise the desired ethicality regarding philanthropic strategies employed by charitable organisations.

- ii. As the central concept of the model is ethical reflection with universal principles, there is need to sensitise and capacity build the respective local communities with regard to their ethical obligations and rights in the pertaining to philanthropic strategies of charitable organisations that operate in their communities. This aspect and need also came out strongly from some participants during the research.
- iii. The community should establish proper moral and ethical grounds when dealing with charitable organisations in order to guide action towards morally sound ends.

#### **6.4.1 Implications for further research**

The researcher hereby makes no absolute claim whatsoever that the research is exhaustive. Only data that are relevant to achieving the research objectives have been presented in this document. There is need for further research, at least in the following areas, based on the research findings:

- i. Models of evaluating ethical aspects of philanthropic strategies employed by charitable organisations.
- ii. The role of the community in corporate philanthropy
- iii. Philanthropic strategies for Africa
- iv. Ubuntu as an African social thought and ethic.

#### **6.5 CONCLUDING PERSPECTIVES**

This study has dealt with the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu district of Western Zambia. The process focused on ethical reflection with universally acceptable ethical principles, mainly because the Zambia as a country has had no policy to govern or regulate charitable organisations despite an influx of such organisations from precolonial times.



The research process has been thoroughly discussed in the respective chapter and it included the research design, research method, and research results. The researcher followed a multi-method approach (interviews, field notes, observations, and triangulation) in order to come up with a rich and meaningful description of the philanthropic strategies employed by charitable organisations that operate in Mongu.

During the empirical investigation, the participants overwhelmingly expressed dissatisfaction at the philanthropic strategies employed by charitable organisations in Mongu. As such, there was need to review the praxis of the said charities and thus evaluate the ethicality of their philanthropic strategies. Although the study has only been a slice in time, the researcher is of the opinion that it has achieved its objectives in the sense that the local people participated evaluation of the ethical aspects of philanthropic strategies employed by charitable organisations that operate in their communities.

Two relevant theories were engaged to ethically evaluate the philanthropic strategies of charitable organisations according to the empirical research results, namely, Kant's moral theory and African traditional Ubuntu philosophy. Consequently, the ethical evaluation overwhelmingly revealed that there were serious ethical violations inherent in the philanthropic strategies employed charitable organisations in Mongu.

In chapter 5 the researcher endeavoured to develop and present a model for the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations such as operate in Mongu. The process involved a synthesis of the key concepts for all the preceding research tasks with regard to the topic under study, which resulted in the formation of an action-guiding model for evaluating ethical aspects of philanthropic strategies employed by charitable organisations. The researcher then presented the structural explanation, assumptions, and evaluation of the constructed model, which he refers to as a philanthropic ethic.

In this concluding chapter, the researcher has finally presented the summary of the perspectives of the whole research, limitations experienced in the process, as well as recommendations and implications for further research, bringing this study to a close.

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## **LIST OF TABLES AND FIGURES**

### **Tables**

- 1.1: Risks and precautions
- 1.2 Benefits for participants
- 3.1 Synopsis of the qualitative research design for the ethical evaluation of philanthropic strategies implemented by charitable organisations operating in Mongu district of Western Zambia
- 3.2 Criteria and strategies for trustworthiness (Lincoln & Guba, 1985).
- 3.3 Credibility
- 3.4 Transferability
- 3.5 Dependability
- 3.6 Confirmability
- 4.1 Representativeness of participants
- 4.2 Synopsis of themes and sub-themes resulting from a synthesis of all interviews conducted
- 5.1 Synopsis of summary of the concepts
- 5.2. Establishing relationships among concepts

### **Figures**

- 5.1 Ethical philanthropy
- 5.2 Ethical reflection
- 5.3 Community participation
- 5.4 Community needs and community participation
- 5.5 Termination of evaluation process

## ABSTRACT

This study has been prompted by the fact that very little is known about the ethical aspects and operating strategies of charitable organisations in Mongu district, despite an influx of such organisations in the area from pre-colonial times. The research follows a multi-method approach (interviews, field notes, observations, and triangulation) in order to come up with a rich and meaningful description of the philanthropic strategies employed by charitable organisations that operate in Mongu.

Throughout the study, the researcher seeks to answer the following questions: What kind of theoretical perspectives could enrich our understanding of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu? Which perspectives could be descriptive-empirical evidence of the ethical aspects of philanthropic strategies employed by charitable organisations operating in Mongu? And, what kind of critical pragmatic reflection will constitute a model for the ethical evaluation of philanthropic strategies employed by charitable organisations in Mongu?

Within social work, which is the guiding framework of this study, evidence of results alone does not satisfy the ethical aspect because ethics in social work are mainly deontological in nature, which means that the end does not always justify the means. As such, the evaluation of ethical aspects of philanthropic strategies employed by charitable organisations operating within the local community will be seen as a definite or desired impact of the efforts charitable organisations in the area.

The study endeavours to contribute to the discourse of social work and, specifically, towards a model for evaluating ethical aspects of philanthropic strategies employed by charitable organisations. The model proposed by the researcher contributes to ethics in philanthropy by focusing first on ethical reflection with universally accepted ethical principles. As such, this study also contributes to social work perspectives on ethics in philanthropy from the unique context of the charitable organisations operating in Mongu district of Western Zambia, which will also inform praxis in other similar contexts.

**Keywords:** ethics, philanthropy, strategies, charitable organisations (NGO/s), Mongu, Zambia.