



*BOTSWANA INSTITUTE FOR  
DEVELOPMENT POLICY ANALYSIS*

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# WORKING PAPER

**Keywords**

progress reports  
poverty  
research programmes  
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**Restricted**



## **Abstract**

The paper contains a progress report and a work guide for the study of poverty and poverty alleviation in Botswana, conducted by BIDPA for the Ministry of Finance and Development Planning. The first part which outlines the approach and methodology adopted by the team includes: task groups assignments, literature review a conceptual framework for understanding poverty and poverty alleviation, Household Income and Expenditure Survey, rapid poverty profile, reviews of policies and programmes and progress in relation to the work programme. The second part identifies six areas of focus: Labour Based Public Works, Preventive Health, Destitute Policy, Financial Assistance Policy, Basic Education and the Arable Land Development Programme.

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**Ministry of Finance and Development Planning study of poverty and poverty alleviation in Botswana : Inception report**

Prepared by  
The Botswana Institute for Development Policy Analysis (BIDPA)

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27 May 1996

**BOTSWANA INSTITUTE FOR DEVELOPMENT POLICY  
ANALYSIS**

**MINISTRY OF FINANCE AND DEVELOPMENT  
PLANNING**

**STUDY OF POVERTY AND POVERTY ALLEVIATION  
IN BOTSWANA**

**INCEPTION REPORT**

**Prepared by the  
Botswana Institute for Development Policy Analysis**

**27 MAY 1996**

# STUDY OF POVERTY AND POVERTY ALLEVIATION

## INCEPTION REPORT

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# 1. PROGRESS IN CONDUCTING THE STUDY

## Introduction

1.1 The Botswana Institute for Development Policy Analysis (BIDPA) has been commissioned to carry out Phase One of the Study of Poverty and Poverty Alleviation in Botswana by the Ministry of Finance and Development Planning (MFDP). The consultancy contract between MFDP and BIDPA was signed on 28 March 1996.

1.2 At its meeting on 4 April 1996 the Reference Group approved the approach to the study as proposed by the study team. This included the selection of the six reviews of current policies and programmes.

1.3 This inception report sets out the progress that has been made in conducting the study since the commencement. It provides a briefing on the overall approach that has been adopted by the study team, and includes the detailed methodologies that have been prepared for conducting the main components of the study.

1.4 The report is intended to be read by the members of the Reference Group. It raises the main issues that have been identified by the study team to date, with the aim of both informing the members and seeking their opinions and guidance. The wider audience for the inception report includes other officials of MFDP and other government agencies, and other organisations and individuals, who may have a role to perform in the process of conducting the study..

1.5 The report also serves as a work plan for the members of the study team. The appendices to the report include the main details required for management and monitoring of the various study components, including identification of the main aspects of approach, the responsibilities and time inputs of the individual study team members and draft tables of contents for the six reviews of policies and programmes. It is expected that these tools of study management will be of valuable assistance towards ensuring that the terms of reference and submission deadlines will be met. Details of the terms of reference are provided in Annex A.

## Task groups

1.6 For the purpose of assigning consultancy resources and managing performance, the study has been sub-divided into eight task groups, each led by a task group leader drawn from the study team. These task groups are summarised below:

- **Task Group 1 (TG1):** Assessment of the nature, extent and causes of poverty, including (a) preparation of conceptual framework of poverty in Botswana; (b) analysis of household income and expenditure survey (HIES) using an updated poverty datum line (PDL); (c) analysis of other social indicators; (d) rapid poverty profile (RPP) survey using participatory assessment techniques.

- **Task Group 2 (TG2):** Review of the role and performance of basic education in alleviation of poverty<sup>1</sup>
- **Task Group 3 (TG3):** Review of the role and performance of labour based public works in alleviation of poverty
- **Task Group 4 (TG4):** Review of the role and performance of preventive health in alleviation of poverty
- **Task Group 5 (TG5):** Review of the role and performance of the Destitutes Policy in alleviation of poverty
- **Task Group 6 (TG6):** Review of the role and performance of the Financial Assistance Policy (FAP) in alleviation of poverty
- **Task Group 7 (TG7):** Review of the role and performance of the Arable Lands Development Programme (ALDEP) in alleviation of poverty
- **Task Group 8 (TG8):** Overall poverty assessment (report of findings from Phase One)

### Consultancy team

1.7 BIDPA has assembled a consultancy team of 15 persons, including consultants, academics and public officials. The expertise within team includes economics, agricultural economics, sociology, statistics, data processing, gender analysis, environmental assessment and primary health care.

1.8 The team has been holding weekly or bi-weekly meetings since February 1996. This has helped to establish a common understanding of poverty and poverty alleviation, and has enabled BIDPA to draw upon the breadth of expertise within the team to ensure that sound and practicable methodologies are developed for addressing the respective study components.

1.9 The Study Coordinator is responsible for overall management and supervision of the study team, and reports on a regular basis to the Study Director. Each of the eight task groups is led by a task group leader, who is responsible for leading and managing the respective task group, and reports regularly to the Study Coordinator. This approach to organising the study team is intended both to ensure that there are clear lines of responsibility for each element of work to be undertaken, and to afford task group leaders the opportunity to make the most of their own initiative and specialised knowledge without being unduly restricted by study administration arrangements.

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<sup>1</sup> It should be noted that the six reviews of policies and programmes will examine the role and performance of the respective policies and programmes in alleviating poverty. Although reviews of the various policies and programmes have been carried out in the past, these have generally not focused on the contribution towards poverty alleviation.

### Assignment of consultancy team members by task group

Name	Position	Task group leader	Task group member <sup>†</sup>
Jan Isaksen	Study Director	—	TG1, TG8
Tyrrell Duncan	Study Coordinator	TG1, TG4, TG5, TG8	TG2, TG3
Patrick Molutsi	Research Adviser	—	TG1, TG5, TG8
Mmantseta Marope	Gender Analyst	TG2	All task groups
Richard Morgan	International Adviser	—	All task groups
Keith Jefferis	Economist	TG6	TG2, TG4, TG7
Peter Olsen	Sociologist	TG3	TG4, TG6
Anthony Panin	Agronomist	TG7	TG3, TG6
Derek Hudson	Statistician	—	TG1
Per Granberg	Statistician	—	TG1
Samuel Ndegwa	Data Processor	—	All task groups
Ruud Jansen	Environmental Specialist	—	All task groups
Bob Mannathoko	Environmental Specialist	—	All task groups
Professor S Khupe	Primary Health Care Specialist	—	TG4
Molapisi Dithlong	Assistant Research Fellow	—	TG1, TG4, TG5

<sup>†</sup> Other than when performing role of task group leader.

### Literature review

1.10 The study team has undertaken a substantial review of literature on poverty and public policy, including general texts, literature that is specific to Botswana, studies from other countries and Internet searches. Some of the key literature that has been obtained and reviewed to date is shown below:

- CSO (1988), *Household Income and Expenditure Survey, 1985/86*, Government Printer: Gaborone.
- CSO (1991), *A Poverty Datum Line for Botswana*, Government Printer: Gaborone.
- CSO (1996), *Household Income and Expenditure Survey, 1993/94*, Government Printer: Gaborone.
- Drèze, J. and Sen, A (1989), *Hunger and Public Action*, Clarendon Press: Oxford.
- Duncan, T., Jefferis, K. and Molutsi, P (1994), *Social Development in Botswana: A Retrospective Analysis*, Government of Botswana/UNICEF, Gaborone.
- Egner, E. B. and Klausen, A. L. (1980), *Poverty in Botswana*, Gaborone.
- Food Studies Group (1995), *Easing the process of transition towards a revised National Food Strategy*, Ministry of Finance and Development Planning: Gaborone.
- IDS (1996), *Poverty, Policy and Aid*, IDS Bulletin, Vol. 27 No.1, IDS: Sussex.

- MOH/UNICEF (1996), *Determinants of Child Nutritional Status in Botswana: A National Study* (draft), MOH/UNICEF: Gaborone
- Republic of Botswana / UNDP/ UNICEF (1993), *Planning for People: A Strategy for Accelerated Human Development in Botswana*, Ministry of Finance and Development Planning: Gaborone.
- Republic of Botswana/UNICEF (1993), *Children and Women in Botswana: A Situation Analysis*, Ministry of Finance and Development Planning: Gaborone.
- Republic of South Africa - Reconstruction and Development Programme (1995), *Key Indicators of Poverty in South Africa*, Pretoria.
- SIAPAC (1993), *Poverty in Botswana: A Status Report*, ODA: Gaborone.
- World Bank (1990), *World Development Report: Poverty*, World Bank, Washington DC.
- World Bank (1994), *Zambia Poverty Assessment*, World Bank, Washington DC.
- World Bank (1996), *Participation Sourcebook*, World Bank, Washington DC (obtained from Internet).

The literature search will continue in parallel with the work on the main study tasks.

### Conceptual framework

1.11 Both the literature review and team 'brainstorming' sessions have been used to develop a common definition and conceptual framework for understanding poverty and poverty alleviation.<sup>1</sup> This is considered important since:

- definitions and conceptual frameworks are essential tools for ensuring that policy analysis is capable of identifying the key issues, and of distinguishing between the symptoms and causes;
- in view of the scale of the study, and in order to ensure consistency and compatibility between its various components, it is essential that the team members and task groups should adopt a common conceptual basis;
- the process of debating definitions and conceptual notions is an important tool for establishing necessary interaction and cooperation among team members.

1.12 On the basis of this work the team has developed the following working definition of poverty in Botswana: *poverty is the inability to meet basic nutritional, health, education, shelter, social and recreational needs, and is closely associated with lack of choice*. This is broadly similar to the definition of poverty used by World Bank (*the inability to attain a minimal standard of living*).

<sup>1</sup> In preparing the conceptual framework, the study team has received valuable contributions from the Resident Representative, UNICEF.



1.13 The team has prepared both a conceptual model of poverty at household level and a conceptual framework of the manifestations and causes of poverty in Botswana. These are shown in graphical form in Annex B.

1.14 The conceptual model indicates that poverty is the outcome of a destructive interplay between low income and low human capacities (eg, educational attainment, health, culture, social organisation etc.), which together imply a lack of choices. Efforts to alleviate poverty depend on breaking these self-reinforcing tendencies, both by raising incomes through efforts to improve earned incomes and provide social safety net support, and by raising capacities, especially through improved education and social services.

1.15 The conceptual framework of manifestations and causes serves to illustrate the multitude of different factors that contribute to poverty in Botswana, and to provide a rough guide to the different levels of causality, including immediate, underlying and fundamental causes. Over the course of the team discussions on this subject, it was decided that the inter-linkages between specific causal items are too numerous and complex to map in totality; and that the notion of levels of causality and multiple contributing factors is best applied on a case-by-case basis (eg, when preparing the six reviews of policies and programmes).

## **HIES**

1.16 A detailed quantitative analysis of the nature, extent and causes of poverty is being prepared on the basis of HIES survey data. This consists of analysis of both the 1985/86 and 1993/94 HIES surveys using an updated poverty datum line (PDL). This work is being undertaken jointly with officials from the Central Statistics Office (CSO). The study team has received excellent cooperation from CSO.

1.17 A consumption-based poverty line can be thought of as comprising two elements: the expenditure necessary to buy a minimum standard of nutrition and other basic necessities and a further amount that varies from country to country, reflecting the cost of participating in the everyday life of society. The costs of participating in society are highly subjective, tending to increase as average consumption rises (World Bank, 1990).

1.18 Three measures of poverty are commonly used when comparing household incomes or consumption against the poverty line. The poverty headcount measures the number of households falling below the poverty line (the headcount index expresses this as a proportion of all households). The limitation of the headcount index is that it does not capture the depth of poverty i.e. the extent that the poor fall below the poverty line. This limitation can be addressed by using the poverty gap, which measures the transfer that would bring the income of every person exactly up to the poverty line, thereby eliminating poverty. A third measure is needed to identify the severity of poverty, in terms of the extent of poor households that fall substantially below the poverty line.

1.19 In addition to employing each of these three poverty measures, we have tentatively defined four poverty groups for purposes of analysing HIES data using the PDL. These categories encapsulate the headcount, depth and severity dimensions of poverty. The *non-poor* are defined as those with incomes above the PDL. The poor are those with incomes between 75 and 100 per cent of the PDL. The core poor have incomes of between 50 and 75 per cent of the PDL. The ultra poor are those whose incomes are less than 50 per cent of the PDL.<sup>1</sup> The poverty headcount is the combined population of the three poor groups. Both depth and severity can be depicted by examining the distribution of the poor among the three poor groups.

1.20 By disaggregating and analysing the HIES on the basis of these poverty groups, it is possible to learn more about the situation and characteristics of the poor. While the HIES is neither as comprehensive a survey instrument as the national census, nor as detailed as some of the sectoral statistical surveys (e.g. education statistics), it nevertheless contains a wealth of information in addition to the details of income and consumption. This can be used to map out many of the important demographic, socio-economic and other features of the poor groups; and to compare these in different geographical areas, settlement types and by gender of household head. By framing this analysis within the statistical parameters of the HIES survey sample, it is possible to ensure that these findings are capable of passing the accepted tests of statistical validity. Whereas past analysis of the HIES and the PDL in Botswana has focused mainly on measurement of the poverty headcount, the use of poverty groups provides the means to explore questions of who the poor are and what are the combination of income and non-income factors constituting their poverty? Such additional information is necessary if policy is to be effective and efficient in addressing the causes of poverty.

1.21 Work on the HIES analysis is proceeding without major difficulties. The original data for the two HIES surveys and the 1989 PDL has been obtained, reviewed and, where necessary, errors and omissions have been identified and addressed. Each of the data sets has been updated to June 1994 prices, and household PDLs have been prepared for each of the household records included in the HIES (more than 3,600 records in 1993/94). Some adjustment to the PDL has been agreed in order to accurately reflect the levels of housing costs.

1.22 The statisticians within the team have been working with CSO to ensure that the results of the HIES analysis will pass generally accepted tests of statistical validity. In some instances, this will require modification of the extent of disaggregation included in the pro forma tables prepared by the team. However, such difficulties will also be offset by the use of variance reduction techniques (eg, converting to normal distribution).

Further details of the approach to the HIES analysis are provided in Annex C.

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<sup>1</sup> The study team is also exploring the possibility of defining the cut-off between the poor and core poor groups in terms of the value of the nutritional component of the PDL, excluding clothing and other items (ie, instead of using the assumption of assuming 75 per cent of the PDL).

## Other indicators

1.23 Household incomes and expenditures per capita are adequate yardsticks for measuring the standard of living - as long as own production is included. However they do not capture such dimensions of welfare as health, life expectancy, literacy, and access to public goods or common-property resources. Consumption or income-based poverty measures will therefore need to be supplemented by others, such as nutrition, life expectancy, under-five mortality and educational attainment.

1.24 The study team plans to use and develop an analysis of supplementary indicators using the HIES, census, nutrition data etc. The following approaches are being considered: (a) disaggregated analysis of human development index (disaggregation by gender, geography settlement type etc.); (b) disaggregated development diamonds (e.g. child mortality rates/ learning attainment for 15-49y or enrolment of 7-13y/ access to clean water/ % of population working or indicator of per capita income); (c) disaggregated index of deprivation.

1.25 The team is also hoping to prepare an *overlay analysis* to establish links and correlations between the HIES and social indicators included in other key data sources, especially the 1991 census. This would be used to test the hypothesis that patterns of income and social/ human/ other indicators are linked. According to this approach the HIES information for a particular enumeration area, block or region might be compared against data extracted from the census returns for the same geographical location. This could be used to develop comparisons of outcome indicators (such as child and maternal mortality rates, fertility rates, teenage pregnancy, education attainment, illiteracy etc.); details of govt provision (e.g. access to health and education, qualified/unqualified teachers Vs learners, employment inc % public); and also various fundamentals (e.g. population density, dependence on subsistence farming, HIES asset ownership).

1.26 The study team is also in the process of obtaining the updated human development indicators for Botswana that have recently been prepared by NIR.

## Rapid poverty profile

1.27 The rapid poverty profile (RPP) is intended to serve as a qualitative instrument for improving understanding of the circumstances of poverty as seen by the poor, as well as obtaining poor people's opinions about current poverty alleviation activities. In view of the limited time available under Phase One of the study (in order to meet the deadline for making inputs to NDP 8), the RPP is restricted in scope and coverage.<sup>1</sup>

1.28 Some important aspects of investigation include: (a) definitions and dimensions of well-being and poverty; (b) measurement of well-being and poverty eg, using techniques such as visualisation in participatory programming (VIPPP); (c) consumer preferences; (d) constituents of ill-being; (e) sources of ill-being; (f) coping

<sup>1</sup> A comprehensive Participatory Poverty Assessment is planned for Phase Two of the study.

mechanisms; (g) government extension and other services available to the poor; (h) comparing the survey findings against official 'objective' data and descriptions of the particular communities.

1.29 The work of designing the survey and preparing the survey instrument is being undertaken with assistance from a team of academics from the University of Botswana (UB). This team will also assist in overseeing implementation of the RPP, including training and supervision of a group of undergraduate students working as enumerators. The UB team submitted its draft design of the RPP to BIDPA during the week beginning 20 May. The next stage in finalising the design will be to convene a peer review session where all members of the study team will be given an opportunity to offer comments and suggestions regarding the draft design. Each of the task group leaders for the six reviews of policies and programmes will also be expected to propose specific additional questions/components to obtain the views of the poor about the respective policies and programmes being reviewed. The peer review session is scheduled for the week beginning 27 May. After making necessary revisions to the RPP design following peer review, it is expected that the RPP design will be finalised during the first or second week of June. Survey activities are then expected to take place during June and July.

### **Reviews of policies and programmes**

1.30 After obtaining approval from the Reference Group for the proposed selection of six reviews of policies and programmes, the task group leaders for the six reviews began work on preparing study plans. This has involved preliminary interviews and research in order to identify the main issues to be examined, develop the review methodologies to be used and assign team members to undertake the various study activities. Preliminary drafts of the report structures for the six reviews have also been prepared.

1.31 Each of the six study plans was subject to peer review by the members of the study team during the week beginning 6 May. The peer review sessions provided an important opportunity to ensure that the study plans will have a sound focus in relation to the particular policy/programme, with effective and feasible methodologies, and to establish reasonable conformity between the reviews. During the peer reviews, the importance of developing new quantitative evidence was emphasised.

1.32 Following peer review, the task group leaders held meetings with the members of their review teams, and then prepared revised versions of the six study plans. The full study plans are reproduced in Annexes D to I. The work of preparing study plans has proved a useful organising framework for developing the review activities and ensuring quality control. Each of the task group leaders is confident of being able to implement the study plans. Work on the six reviews has now commenced and is expected to take approximately three months up to submission of the respective draft reports. A summary of the main issues raised by the study plans is included in chapter two of this inception report.

1.33 It is planned that each review will include field investigations in three or possibly four districts. Ideally these might cover one more remote location, one rural, one urban village and one urban. A practical proposal that has emerged from peer review is that there may be a case for some aspects of field investigations to be conducted together by all six review teams. In particular, there would be advantages in terms of logistics, cost-effectiveness and dissemination of emerging study findings, if the review teams were to travel together (by air charter) to a selected western district, and to spend 2-3 days there conducting interviews and field investigations for each of the six reviews and holding a district workshop on poverty and poverty alleviation for the benefit of council officials, NGOs and other interested parties.

### **Study reports**

1.34 Each of the task groups under Phase One will produce a self-contained report of findings and recommendations. The reports will initially be produced in draft form. Final reports will be produced after obtaining comments and incorporating necessary amendments. The eight reports are summarised as follows:

- the nature, extent and causes of poverty (TG1);
- each of the six reviews of policies and programmes (TG2-7);
- the overall poverty assessment (TG8).

1.35 The report of the overall poverty assessment (TG8) will be present the overall findings of Phase One of the study. This will be prepared after completion of the draft reports for the study components on the nature, extent and causes of poverty, and for the six reviews of policies and programmes. The overall assessment will summarise and compare the major findings from each of the preceding study components; develop general findings and conclusions about the effectiveness and adequacy of existing policies and programmes for addressing poverty; and identify related needs for poverty policies and programmes to be refined, improved or re-oriented. Based on this analysis, the assessment will develop broad guidelines for designing of a national framework for poverty alleviation.

1.36 The overall poverty assessment will be the major outcome of Phase One of the study. This will serve as the main input from the study towards formulation of NDP 8. The work of preparing detailed design of the proposed national framework for poverty alleviation will be taken up in Phase Two of the study.

### **Work programme**

1.37 Implementation of the study is progressing in accordance with the work programme that was included in the Plan of Operations. The work programme may be summarised as follows:

- mid-May to mid-August:
  - investigations of nature, extent and causes of poverty, and preparation and submission of draft report
  - conducting of six reviews of policies and programmes and preparation and submission of draft reports
  - staging of two district-level workshops
- mid-August to mid-Sept.
  - preparation and submission of draft overall poverty assessment
  - staging of two district-level workshops and Gaborone workshop
- end-October
  - submission of final report of nature, extent and causes of poverty
  - submission of final reports on the six reviews
- - submission of final report of overall poverty assessment

1.38 The time frame for implementing the work programme has been determined on the basis of both the deadline for providing inputs to NDP 8 and the availability of the various team members. This time frame is considered achievable, on the assumption that there will be no significant delays in obtaining necessary cooperation from the government agencies in connection with the various work components

## 2 MAIN ISSUES FOR REVIEWS OF POLICIES AND PROGRAMMES

### Introduction

2.1 The study plans for the six reviews of policies and programmes provide a detailed explanation of their expected scope and focus. This includes details of the issues to be addressed; the conceptual basis; identification of main linkages to poverty and poverty alleviation, the selected areas of emphasis; the methodology; the various research tasks; and an outline of the report structure (see Annexes D-I). The following chapter summarises the main issues that have been identified in the study plans, with the aim drawing these to the attention of the Reference Group and obtaining comments, guidance and assistance from the Reference Group.

### Labour based public works

2.2 Over 100,000 Batswana are estimated to be directly or indirectly involved in labour intensive public works programmes and up 50 per cent of the rural population therefore may be wholly, or partly, dependent upon these programmes as a source of income. If these estimates are correct then the various labour intensive public works programmes represent the single most important state intervention to alleviate actual or potential poverty in the country.

2.3 The review will quantify the extent to which Batswana, particularly in the rural areas, are dependent upon these programmes and the impact the programmes have had on the alleviation of poverty. Against this background, it will then assess whether labour intensive public works programmes have a long term sustained role in addressing under-lying structural poverty.

2.4 The results and conclusions of the review must address whether LBPW programmes should continue to be temporary interventions during times of drought, or whether they should, like the LG 117 rural roads programme, become institutionalised as a permanent feature of Government development policy.

2.5 The main issues to be addressed under this review are:

- (a) In addition to identifying and describing these various objectives, the Review must ask the question: Are the various objectives the different Labour Based Public Works Programmes complementary, or are there areas where these objectives in conflict? For example, one of the most contentious issues in the rural roads programme under LG 117, is, and has always been, the wage rate. One of the critical issues to be addressed under this programme, therefore will be whether the wage rate established to make labour intensive methodology an economically viable option has contributed towards poverty alleviation, or the creation of poverty.

- (b) The Review, therefore, must ask whether the concept of LBPW programmes is an integral part of Government's development strategy, particularly in addressing the issue of employment creation.
- (c) The Review, therefore, must examine the institutional arrangements for initiating, managing, funding and coordinating LBPW programmes and identify areas where a breakdown in institutional arrangements and processes may have impacted on the success or otherwise of programmes. This must include flowing the decision making process between VDCs, DCs, MLGLH, and MFDP.
- (d) The Review will seek to identify quantify and disaggregate the real cost of labour intensive public works programmes, to establish, among other issues, the proportion of expenditure accruing directly to beneficiaries. Another issue to be addressed as part of this economic analysis will be to assess whether LBPW programmes are susceptible misappropriation through 'ghost' recipients.
- (e) A primary objective of the review will be to quantify and describe the profile of beneficiaries of the various different LBPW programmes to establish the degree of dependency.
- (f) Are the current pay rates under the rural roads labour based public works programmes assisting to alleviate poverty, or are they contributing to poverty and a deterioration of health standards? What is the relationship between the wage rates and the PDL? What is the legal status and statutory entitlements of employees under the programmes in terms of employment legislation? What mechanism is used to establish pay rates? What would be the economic impact on the viability of the programmes if there was any adjustment in the wage rates.
- (g) Review the technology used in labour based programmes to establish whether the tools are appropriate.
- (h) Should Government phase out drought relief LBPW programmes; or is there a case for the continuation of more permanent LBPW programmes?
- (i) Should LBPW programmes be extended to urban areas as a mechanism for ameliorating urban poverty?
- (j) Should Government continue to manage LBPW programmes within the public sector or are there opportunities for privatisation, including the possibility of labour based cooperative, or community based structures.
- (k) Should labour intensive technologies be central to Government's development strategy to create employment and prevent growth in poverty? And if so, what opportunities exist for labour based public works programmes?



## Preventive health

2.6 This review is intended to examine the role of preventive health care programmes in poverty alleviation in Botswana, distinguishing between those aspects that can be addressed directly through actions within the *domain* of preventive health care, and those that depend primarily on actions outside of the domain (e.g. education). It will assess whether and why existing preventive health services are subject to different patterns of access, take-up and health outcomes between poor and better-off groups; and identify the main issues regarding how access, take-up and outcomes can be improved in order to better contribute towards poverty reduction.

2.7 Together with the conceptual model, a central part of the approach to the review should be the notion of 'healthy households', that have both: (a) access to quality basic health services; (b) the ability to make full use of the available services. Under (a) it will be useful to examine issues of the quality level, variations and gaps in quality and whether these follow geographical or other patterns corresponding to higher levels of poverty. Under (b) there is a need for quantitative and qualitative information as a basis for possible suggestions regarding if/how, within the domain of health, the poor can be better helped to make use of services to better safeguard their own health.

2.8 The main issues to be addressed under this review are:

- (a) For each of the main aspects of health that are covered by preventive health care, how do the poor compare with the better-off in terms of health status/outcomes.
- (b) How well does the pattern of geographical coverage of health facilities and preventive health programmes (/outreach) ensure that the poor have the opportunity to gain access?
- (c) What factors affect the ability of the poor to take up available opportunities for obtaining access and making use of preventive health services (e.g. culture, social organisation; education)?
- (d) How appropriate and relevant is the available 'menu' of preventive health services in relation to both the needs, characteristics, capabilities of the poor and to the types of health problems that they commonly experience?
- (e) How well do service delivery modalities make it easier for the poor to access and make the fullest use of opportunities of preventive health services.
- (f) How well are institutional and administrative arrangements for preventive health services oriented towards meeting the needs of the poor in an equitable and efficient manner (especially at local authority level), and does any lack of such orientation contribute to ill-health and poverty?
- (g) How can poor people's ability to protect their own health be improved by strengthening preventive health provision, and what is the scope for bringing about improvements from outside of the domain of health?

## Destitutes Policy

2.9 The review is intended to examine the appropriateness, effectiveness and efficiency of existing social protection measures under the destitutes policy, and to provide proposals for how this may be improved.

2.10 This differs slightly from the other policy reviews within the poverty study, in that: (a) there is less doubt that primary beneficiaries of the policy are poor people; (b) MLHA had already prepared draft terms of reference that set out their main areas of concern; (c) MLHA hopes that the findings will provide the main basis for taking practical steps to refine or reform the destitutes policy.

2.11 The overall thrust of the review will be to assess whether the 1980 destitutes policy<sup>1</sup> is capable of adequately addressing the needs of society's destitute and other worst-off groups. There have been considerable changes in society since 1980 that have given rise to changes in the nature and incidence of destitution and extreme poverty and changes in how society understands these changes and the way that it copes with them. But so far there has not been significant re-think on how government should go about destitutes provision. The main issues to be investigated are as follows:

- (a) How well does the coverage of existing destitutes provision correspond with the actual numbers and categories of destitute and extremely poor or otherwise disadvantaged people?
- (b) Is the existing support 'package' capable of meeting the actual needs of the different categories of destitutes, and of doing so in a way that minimises the syndrome of dependency on public provision?
- (c) Are the institutional and administrative arrangements (especially at local authority level) appropriate for implementing the existing policy in an equitable and efficient manner, and how might these be strengthened?
- (d) In future how should destitutes provision fit within a broader and more inclusive national framework for social security/protection.

2.12 One of the most important practical outcomes of the review will be to develop a revised set of operational guidelines for the Destitutes Policy. It is generally accepted that the 1980 Destitutes Policy has become outdated, and that there is now a considerable gap between what can be provided under the existing rules for destitutes provision and what is actually needed.

## Financial Assistance Policy

2.13 A number of key issues and questions can be identified relating to the impact of the FAP on poverty:

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<sup>1</sup> Together with recent revisions to Class B destitute provision, following the 66th meeting of the RDC in September 1995.

provide a more qualitative picture of participants in this programme. This study indicated that among female beneficiaries the programme was increasingly becoming the sole source of income. However, it did not look at male participants and therefore information is needed in this area.

Original research will be needed to build up a profile of beneficiaries of the non-rural roads LBPW programmes, because as far as we have been able to establish, such information has not been collected in the past.

The type of information required in order to establish a profile, includes:

- (a) Numbers by gender
- (b) Age distribution by gender
- (c) Actual earnings by gender
- (d) Length of participation in programme by gender
- (e) Alternative sources of income by gender
- (f) Dependants supported by gender

#### **Key Issue**

*A primary objective of the review will be to quantify and describe the profile of beneficiaries of the various different LBPW programmes to establish the degree of dependency.*

**Research Methodology:** *Field visits to project sites and review of records  
Interview programme*

The gender study of the rural roads programme<sup>1</sup> revealed disturbing evidence of deteriorating health among female participants which may be a damning indication that the wage level is insufficient to even maintain participants human capital.

The wage level paid under the programme has been a contentious issue since it was started in the early 1980s and has not been properly addressed at the policy level. In so far as the rural roads programme is concerned, the current level is threatening the continued viability of the whole programme because of an increasing shortage of labour.<sup>2</sup> Moreover, the drought relief LBPW programmes are increasingly drawing away labour from the road programme because, although the pay rates are virtually identical, the drought relief programmes do not demand the same level of productivity.

<sup>1</sup> Report from project Review of the Gender Aspects of the Labour Intensive Road Works Programme under LG 117/BOT012: Austveg, Nkwe, & Ystehede.

<sup>2</sup> LG-117 Labour Intensive Public Works Labour Based Road programme: Review of Technical Status: July 1995 (ILO/ASIST): July 1995.

**Key Issues**

*Are the current pay rates under the rural roads labour based public works programmes assisting to alleviate poverty, or are they contributing to poverty and a deterioration of health standards? What is the relationship between the wage rates and the PDL? What is the legal status and statutory entitlements of employees under the programmes in terms of employment legislation? What mechanism is used to establish pay rates? What would be the economic impact on the viability of the programmes if there was any adjustment in the wage rates.*

**Research Methodology:** *Review of on-site records and interview programme*

On a related health issue, the hand tools used under the LBPW programmes may be contributing to a deterioration in employee's health. For some unknown reason ex-British colonies continue to use short handle spades and picks, while the rest of the world has been using long handle tools for the past 5,000 years (!)

**Key Issue:**

*Review the technology used in labour based programmes to establish whether the tools are appropriate.*

**Research Methodology:** *Sub-contract evaluation to Botswana Technology Centre*

**Future Role of LBPW in addressing Poverty**

On the basis of the analysis of existing programmes, and, in particular, an analysis of dependency on LBPWs as a primary source of long term income, the study must examine the future role LBPW programmes can, or should play in long term poverty alleviation. This will include the future of drought based LBPW programmes.

The President, during a tour of the Kgalagadi has been reported s saying that drought relief LBPW programmes were only a temporary measure to provide short term job opportunities and a source of income to drought affected families.<sup>1</sup> However, he expressed concern that the LBPW programmes may be drawing labour away from agricultural production and establishing a 'dependency syndrome'. It would seem, therefore, that it is clearly Government's policy to phase out drought relief LBPW programmes as soon as possible.

**Key Issue**

*Should Government phase out drought relief LBPW programmes; or is there a case for the continuation of more permanent LBPW programmes?*

<sup>1</sup> Daily News: May 9th 1996.

Currently, the labour based public works programmes - whether they are under LG 117 rural roads, or under drought relief, have been restricted to rural areas. However, as migration to, and between, urban areas continues unabated urban poverty, arising out of unemployment may be on the increase.

As part of the review of the long term role of LBPW programmes it will be necessary to explore the extent to which LBPW programmes can be extended to urban areas. For example, in a controversial speech last year the Governor of the Bank of Botswana called for the introduction of labour based public works in urban areas as a short term measure to alleviate unemployment and escalating crime.

***Key issue***

*Should LBPW programmes be extended to urban areas as a mechanism for ameliorating urban poverty?*

For the past 16 years the rural roads programme under LG 117 has been managed through technical assistance from NORAD. This technical assistance is due to end in 1997. Against a background of Government's privatisation policy, opportunities may exist, therefore, to consider the privatisation of LBPW programmes.

***Key Issue***

*Should Government continue to manage LBPW programmes within the public sector or are there opportunities for privatisation, including the possibility of labour based cooperative, or community based structures.*

As noted, as a deliberate policy bush clearing for the North-South Carrier pipe line is being carried out by low technology labour intensive means. However, this is one of the only recent examples where a conscious choice has been made to use labour intensive technologies for infrastructure development. Nearly 20 years ago, a major study on Employment and Labour Use in Botswana strongly recommended that labour intensive technologies should be central to Government's development strategy as the primary mechanism for employment creation.<sup>1</sup>

***Key Issue***

*Should labour intensive technologies be central to Government's development strategy to create employment and prevent growth in poverty? And if so, what opportunities exist for labour based public works programmes?*

<sup>1</sup> Employment and Labour Use in Botswana: Michael Lipton: MFDP: December 1978.

**Key sources***Institutional*

## Ministry of Finance and Development Planning

- Rural Development Division
- Food Strategy Coordinator
- Employment Policy Unit

## Ministry of Local Government, Lands and Housing

- District Roads Division
- Drought Relief Coordinator
- District Development Officers (including urban)
- Village Development Committees
- District Commissioners

## Ministry of Works, Transport and Communications

- Roads Division

## Ministry of Labour and Home Affairs

- Welfare Division
- Department of Labour and Social Security

*Statistical*

## CSO

- HIES (SN)
- Census (SN)

## MLGLH

- Rural Roads LG 117
- District Councils
- Project sites
- Drought Relief Coordinator

## MFDP

- Rural Development Coordinator
- Food Strategy Coordinator

**References**

- LG 117 Labour Intensive Public Works: Review of Technical Status: July 1995 and annual:
- LG 117 Gender Aspects of Labour Intensive Works Programme: January 1995
- LG-34 Labour Intensive Works Intensive Road Programme: ILO Final Report
- MFDP: Inter-Ministerial Drought Committee: Assessment Tours: Annual

- Evaluation of Drought Relief and Recovery Programme: 1982 - 1990: FSG
- Government Paper No 2 of 1992: Response of Government to Evaluation Report.
- Drought, Transfer Entitlements, and Income Distribution: The Botswana Experience: T. Valentine : 1992
- Employment Creation and Poverty Alleviation through Labour Intensive Public Works in Least developed countries: ILO Labour Review Vol 131. 1992
- Labour Intensive Public Works for food security in Africa: ILO Labour Review Vol 131.1992

### Suggested Study Group

Mr Chief Mothakaja	Drought Relief Coordinator: MLGLH
Mr T. Hjortnes:	Principal Roads Engineer (District Roads) MLGLH
Mr B.M. Palai	Commissioner of Labour
Representative:	MWTC
Representative:	MFDP: Employment Policy Unit
Representative:	MFDP: Rural Development Unit
Representative:	Kweneng District Council (District Planning Officer)
Representative:	Gaborone City Council

### Suggested Site Visits

Western Kweneng  
 Kgatleng (River Villages)  
 North East  
 Tswapong

### Draft Beneficiary Questionnaire

LG.117:

1. Gender      M/F
2. Age:
  - < 20
  - 20 - 25
  - 26 - 30
  - 31 - 35
  - 36 - 40
  - 40 >
3. Education:
  - None
  - Standard 1 - 3
  - Standard 4 - 6
  - Standard 7
  - JC
  - Above JC
4. Marital status

## 5. Children:

&lt; 5

5 - 14

14 &gt;

6. Length of participation Actual

7. Previous employment

8. Dependants in household (including children) supported

9. Wage earners in household

10. Average monthly income from programme (from employment records)

11. Average hours/days worked (from employment records): Time off

12. Recruitment

13. Expenditure vs income: remittances to household; surplus.

14. Impact on household agricultural activities

15. Training

16. Alternative employment

17. Security of employment

**Study Programme**

No.	Study activity	Task Group Leader	Instits./prog. analyst	Bene-ficiary analyst	Tech. specialist	Gender adviser	Environ-ment adviser
		PO	TD	AP	BTC/RIIC	MM	RJ/BM
1.	Review of programmes	3	3	1	—	—	—
2.	Gaborone interviews	2	2.5	1	—	—	—
3.	District interviews	2	3	3	—	—	—
4.	Site visits/ interviews	1	1	6 <sup>†</sup>	2	—	2
5.	Statistical analysis	1.5	1	2	—	1	—
6.	Prepare draft report	7	5	3	—	1	—
7.	Study group	1	1	1	—	—	—
		17.5	16.5	17	2	2	2

<sup>†</sup> In view of the number of potential site visits needed to collect information on beneficiaries it may be advantageous to use some university students as additional interviewers.



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### STUDY PLAN FOR REVIEW OF PREVENTIVE HEALTH

#### Purpose of the review

*“Large improvements in the health of the population can be achieved if there is a broad and lasting political commitment, with a consistent emphasis on preventive measures and basic curative care. In other words social progress is not merely a by-product of economic development. Policies matter.... (While) many of the economic problems in the developing world can be attributed to excessive or inappropriate government intervention.... much of the social progress observed during the past two decades is clearly a direct result of government action” (World Bank, 1990)*

This review is intended to examine the role of preventive health care programmes in poverty alleviation in Botswana, distinguishing between those aspects that can be addressed directly through actions within the *domain* of preventive health care, and those that depend primarily on actions outside of the domain (e.g. education). It will assess whether and why existing preventive health services are subject to different patterns of access, take-up and health outcomes between poor and better-off groups; and identify the main issues regarding how access, take-up and outcomes can be improved in order to better contribute towards poverty reduction.

Together with the conceptual model, a central part of the approach to the review should be the notion of ‘healthy households’, that have both: (a) access to quality basic health services; (b) the ability to make full use of the available services. Under (a) it will be useful to examine issues of the quality level, variations and gaps in quality and whether these follow geographical or other patterns corresponding to higher levels of poverty. Under (b) there is a need for quantitative and qualitative information as a basis for possible suggestions regarding if/how, within the domain of health, the poor can be better helped to make use of services to better safeguard their own health.

#### Major aspects of approach

1. For each of the main aspects of health that are covered by preventive health care, how do the poor compare with the better-off in terms of health status/outcomes.
2. How well does the pattern of geographical coverage of health facilities and preventive health programmes (/outreach) ensure that the poor have the opportunity to gain access?
3. What factors affect the ability of the poor to take up available opportunities for obtaining access and making use of preventive health services (e.g. culture, social organisation, education)?

4. How appropriate and relevant is the available 'menu' of preventive health services in relation to both the needs, characteristics, capabilities of the poor and to the types of health problems that they commonly experience?
5. How well do service delivery modalities make it easier for the poor to access and make the fullest use of opportunities of preventive health services.
6. How well are institutional and administrative arrangements for preventive health services oriented towards meeting the needs of the poor in an equitable and efficient manner (especially at local authority level), and does any lack of such orientation contribute to ill-health and poverty?
7. How can poor people's ability to protect their own health be improved by strengthening preventive health provision, and what is the scope for bringing about improvements from outside of the domain of health?

### **Principal research tasks**

The main research tasks are summarised below:

#### *Liaison with MOH*

Periodic meetings with Family Health Division to assist with planning and coordination of the review.

#### *Explaining the conceptual model*

The reviews will show how conceptual model of poverty operates in the subject area in question, and identify the *domain* and non-domain. Also, it should pick the relevant aspects of manifestations and immediate, underlying and fundamental causes, and discuss key inter-connections.

#### *Review of statistics on health status and outcomes*

World Bank has provided a generic listing of *public health services* consisting of: (a) immunisations; (b) school-based health services; (c) information and selected services for family planning and nutrition; (d) programmes to reduce tobacco and alcohol consumption; (e) regulatory action, information and limited public investments to improve the household environment, such as sanitation, water, hygiene etc.; (f) AIDS prevention. A similar listing is available for *essential clinical services*, consisting of: (a) services for safe motherhood; (b) family planning; (c) TB control; control of STDs; (d) care for common serious illnesses of young childhood (e.g. ARI, diarrhoea, measles etc).

A preliminary brainstorming meeting will be arranged with MOH's Family Health Division, to review the definition of preventive health, the 'menu' of preventive health services provided by MOH and the issues of which activities fall within the domain of the health services and which are non-domain.

The study will take into account the above categorisation when exploring how well the poor fare in terms of their health status and outcomes of preventive health services. This will involve disaggregated analysis of indicators, such as U5MR, IMR (and, ideally, neo natal mortality rates) causes of death, common types of morbidity (diarrhoea, ARI etc.). It will often be necessary to use proxies for poverty (e.g. cash/assets; type of shelter; remoteness; small settlement size; etc). The main sources for this work are likely to include health statistics, census data, NNSS data, the recent study on determinants of child nutrition and data from the Botswana Family Health Survey (1988 and forthcoming). Another source will be the update of HDR indicators being currently prepared for UNDP by PM. It will be advisable to meet the Government Statistician and FHD to clarify the best data sources to use. This review component will involve SN in assembling the specified data.

This work should establish clear links between poverty and illness, including identifying what are the health problems that are more common among poor. On the basis of the consequences of such health problems for undertaking income earning, educational and family caring activities, it will be possible to develop the explanation of the reciprocal relationship between (a) health, nutrition, population growth and low use of family planning etc.; and (b) poverty.

It might be useful to include a short case study or panel on the special issue of maternal mortality, both because of its seriousness, the lack of attention in the past and the reciprocal links with poverty. This would examine the issue of high maternal mortality rates among the poor, explaining the predicament poor mothers face (problems regarding the quality of maternal care; re-abortion risks etc) and contrasting this with the situation of many of the better off (e.g. using the private doctors/ Private Hospital, at least in Gaborone and larger towns).

#### *Analysing the influence of factors outside the domain of health*

The health review should analyse the impact of key non-domain factors, notably education (expect further lagged benefits here for use of health services) and income (also water and sanitation provision), on health status and try to reach conclusions about room for manoeuvre/improvement within domain of health services. How do show this? Overlay HIES/ census analysis? Draw from recent nutrition study and on its main findings/ conclusions.

#### *Review of statistics on take-up/non-take-up and use of preventive health care services*

This will require data to be obtained at health facility/ clinic level. This should cover each of the main items of preventive health services and should distinguish between rich and poor in terms of:

- take-up (e.g. clinic attendance statistics by geography/remoteness)
- knowledge, attitudes and practices (e.g. ORS use; sanitation and hygiene)

This will depend on obtaining data from MOH, together with the 1991 KAP Study of Water and Sanitation (SIAPAC) and other similar studies. It is possible that some

information may be used from the census to try to provide a proxy for poverty to overlay on top of geographical takeup/use data.

This aspect will require further thought and discussion with MOH, in order to ensure strong quantitative sources.

#### *Review of trends in health system*

In order to set the scene for the review, prepare a longitudinal comparison of real health expenditure (both total and per capita), number of physicians per 1,000 population (possibly also % immunised; % with access; % attending clinics) and health outcomes (U5MR; life expectancy). Examine patterns of improvement and whether plateau or diminishing returns appear to have set in.

Similarly prepare a longitudinal analysis of composition of health spending between curative (inc. % hospitals) preventive and community services; and ideally by geography and/or settlement type. If possible, information on coverage/expenditures for water and sanitation provision should also be obtained.

#### *Assessing the health care menu*

Profile of health care choices and costs/affordability for poor and non-poor, and actual participation performance by the poor and non-poor i.e. the menu of public and private service options, including indications of quality and variations in quality, together with analysis of the costs and cost-benefit relationship for each of the main items on the menu. This will be based on MOH standard documentation on services, together with information to be obtained from the Gaborone Private Hospital etc, as well as interviews with MOH, MLGLH, council staff and private practitioners.

Refer to 1993 WDR (p14) that identified a matrix of policy reforms that help towards reaching the disadvantaged and improving health outcomes: foster an enabling environment for households to improve health (pursue economic growth policies that benefit the poor; expand investment in education, particularly for females; promote the rights and status of women); improve government investments in health (reduce government expenditure on tertiary services; finance and ensure delivery of a public health package, including AIDS prevention; finance and ensure delivery of essential clinical services, at least to the poor; improve health service management); and facilitate involvement by the private sector (not so relevant re-poverty except where there is scope to raise quality through competition).

Could government expand its use of NGOs for health education and other public health services (to overcome FWE type gaps)?

#### *Expenditure analysis*

Analyse the structure of health expenditure, between levels and also between main items in the preventive health care menu? What level do poor need most? Do poor



get enough? How could further shift in favour of PHC be performed (i.e. h/education, immunisation, AIDS prevention, essential clinical services?)

Prepare expenditure and financing scenarios for who pays for health services. e.g. might cost recovery based charging plus health insurance increasingly be the basis for providing services to better off (plus private competition safeguarded by regulation); with free services being for the less well off? Is this desirable, feasible?

#### *Analysing the influence of private health care on rich/poor health differences*

Identify present regime, rules and public/personal financial contributions for a rich versus poor person at each of the three levels of health services, but especially regarding preventive health. Does being poor exclude people for reasons of cost or inability to attend/deal with red tape?

For beneficiary analysis, hold discussions with the main private health insurance providers to identify scale, cost etc of private health (by the better off) and confirm that there is generally no way in for the poor. Assess the extent that the public health system (especially the preventive health component) is increasingly a 'Medicare' type system focusing on the poor (if so this needs to be clearly recognised in health policy in order to have best results).

Given the expected burden, how will HIV/AIDS impact on the health services available to the poor (including both the HIV positive and the HIV negative)? This will potentially overload both the clinical and preventive parts of the health services, perhaps reducing average quality and/or compromising the resources available for preventive services. Is there any evidence in terms of expenditure or activity level trends?

Perhaps investigate extent that public subsidies for tertiary services benefit the poor versus the rich (who might otherwise be covered by insurance schemes?). Is there scope for improving cost-effectiveness and releasing resources from tertiary level by more competition with private sector and/or more contracting out.

#### *Topics for inclusion in RPP*

The review should be accorded a small amount of space in the RPP research instrument in order to find out what poor people think of preventive health provision. For example:

- The views of the poor about the available preventive health services (e.g. purpose, relevance to needs, access, takeup, outreach activities, typical experiences of attending clinic or receiving home visit, attitudes of health staff etc.).
- Another option would be to test out some key aspects of knowledge, attitudes and practices (with technical support from SK), in order to form opinions about the capacity/ability of the poor to look after their own health.

- Under RPP explore why the poor don't understand all the benefits of health services (inc. family planning) and if they are also deterred by the private costs (e.g. working time foregone)
- Witchcraft and traditional medicine. If many poor people (particularly in rural areas and urban-villages) believe in witchcraft or use traditional medicine, then many may opt for this compared with modern medical services or use both and thereby undermine possible contribution of the latter. What can we say on this issue? If belief in witchcraft or use of traditional medicine is common among the poor, this may be an important cultural dimension to address in poverty alleviation activities.

*Interview programme with nurses, FWEs and other preventive health personnel at council level*

This is to be conducted in a selection of three or four districts that offer a cross-section of geographical/settlement conditions (eg, one remote district, one rural, one urban village, one urban).

Interviews are intended to assist in identifying the competence and adequacy of the existing staff (generally at council level), their perceptions and problems and their ideas for improving the preventive health for the poor:

- brief description of main day-to-day duties by location, and the allocation of time between these
- discussion of main types of ill health that are particularly associated with the poor, and explanation of main factors leading to such ill health
- discussion of appropriateness of existing 'menu' in relation to the major health problems of the poor
- identification of main achievements and extent of problems regarding providing access to the poor
- identification of main reasons that poor may not take up access opportunities
- statement regarding the ability (knowledge, attitudes and practices) of the poor to make good use of preventive health services and explanation of main constraining factors
- identification of main strengths and weaknesses in service delivery modalities and institutional and administrative arrangements
- suggestions regarding changes in the 'menu', modalities and institutional arrangements that might improve health status and outcomes of the poor
- suggestions regarding key improvements outside the domain of health that are likely to have significant impacts of poor people's health status

Provide profile of quality of system and explain patterns of variation in quality (to help focus on where improvements can be made to help the poor) obtain better health services.

### *Gaborone interview programme*

All team members would undertake programmes of interviews taking in each of the main sources of information and opinion, e.g MOH, MLGLH, AIDS/STD Unit, private hospital and medical practitioners, WHO, UNICEF, NGOs etc. These will need to be coordinated between team members to avoid duplication and to ensure that team members help each other out when necessary. Some of the likely subjects for the Gaborone interviews include:

- The topics covered by interviews at council level would also be included in the Gaborone interviews (subject to relevance);
- Institutional, human resource and capacity building issues
- Activity and cost structure issues
- How adequate has health research been in identifying the problems of the poor and contributing to a pro poor health system?
- How can the health system can do better for the poor? Now that various types of access have been reached as best possible, will improvements in health outcomes tail off (discounting HIV/AIDS). How much might this be a question of needing to refine the menu and institutional arrangements/ delivery methods versus problems regarding the ability of the poor to take up the menu? Or might there be further lagged gains through continuing build-up of better awareness/use by younger generations (i.e. people becoming better able to make use of what's available? Or will gains continue because of key influences outside the *domain* of health e.g. rising incomes; education and literacy; water and environmental sanitation (or is this really part of the domain of health).

### **Composition of study group**

The proposed membership of the study group is as follows:

Principal Family Health Officer, Family Health Division  
MLGLH Representative (Rural water/sanitation or Senior Planning Officer)  
1 or 2 Chief Medical Officers from councils  
Botswana Red Cross Representative  
Health Officer, UNICEF

### **Assignment of study tasks to team members and timetable**

Assignment of study tasks is suggested as follows:

No.	Study activity	Task Group Leader	Instits. /prog. analyst	Bene-ficiary analyst	PHC specialist	Gender adviser	Environ-ment adviser
		TD	PO	KJ	SK	MM	RJ/BM
1.	Assess gender/envir.issues	—	—	—	0.5	1	1
2.	Liaison with MOH	1	—	—	0.5	—	—
3.	Review h/status, outcomes	2	—	—	—	—	—
4.	Review non-domain influ.	1	—	1	0.5	—	—
5.	Review takeup/use data	—	2	3	0.5	—	—
6.	Review h/system trends	—	1	—	—	—	—
7.	Assess h/care menu	—	2	—	2	—	—
8.	Expenditure analysis	1	2	—	—	—	—
9.	Review private influence	—	—	2	—	—	—
10.	District interviews	3	3.5	5	2	—	—
11.	Gaborone interviews	2.5	2	2	1	—	—
12.	Prepare draft report	6	3	3	1	1	1
13.	Study group meetings	1	1	1	1	—	—
		17.5	16.5	17	9	2	2

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## Appendix

### Preliminary draft report structure

While the structure of the report cannot be finalised until the review team has gained familiarity with the facts and issues involved, it is nevertheless useful to set out a preliminary table of contents showing how/where the main topics will be addressed and who will be responsible for particular tasks.

#### 1. SUMMARY

#### 2. BACKGROUND AND CONCEPTUAL BASIS

- Introduction (TD)

- Operational definition of preventive health

- Overview of past achievements in preventive health (TD/sk)

- The extent that health policy deals with poverty (TD)

- Conceptual basis for examining preventive health within poverty study (TD)

- The notion of the healthy household (TD/sk)

#### 3. MAIN ISSUES REGARDING PREVENTIVE HEALTH AND THE POOR

- Synopsis of the 4-6 main issues emerging from the review (TD)

#### 4. THE IMPACT OF PREVENTIVE HEALTH PROGRAMMES ON THE POOR

- Preventive health policy and programmes (including chronology panel) (TD)

- Analysis of programme activities and expend. (inc. activity/expend. panel) (TD)

- Impact of preventive health on health status of the poor (TD/SN)

  - fertility and population growth (using proxies for poverty, as required)

  - child mortality and morbidity (inc. diarrhoea, ARI)

  - maternal mortality

  - preventable communicable diseases/ immunisation

  - malnutrition

  - STDs

- The reciprocal relationship between poverty and health status (TD)

- Other major influences on poor people's health status (TD/SN)

  - Educational attainment

  - Income

  - Supplementary feeding programmes

  - Home environment and environmental hygiene

  - HIV/AIDS

  - Alcohol and tobacco

#### 5. SERVICE DELIVERY AND INSTITUTIONAL ARRANGEMENTS

- How accessible the health services are to the poor (PO/sk)

  - geographical proximity (inc. urban Vs rural)

  - affordability (including charges and rebates)

  - other factors

- Service 'menu' available to poor and non-poor (PO/sk)

Service quality and orientation available to poor and non-poor (PO/sk)  
Patterns of resource allocation within the health sector (PO)  
    financial resources  
    human resources  
Institutional factors affecting services delivered to the poor (PO)  
Role of community organisations and NGOs (PO)  
Identification of constraints (PO)

#### 6. TAKE UP AND USE OF HEALTH SERVICES BY THE POOR

Analysis of participation and take-up by poor and non-poor (inc. panel) (KJ)  
Use made of services obtained (KJ)  
View of the poor about preventive health services (from RPP) (KJ)  
Knowledge, attitudes and practices about household health (KJ)  
The influence of factors outside the domain of health (KJ)  
    (inc. traditional medicine and witchcraft)  
Identification of constraints (KJ)

#### 7. POLICY CHOICES FOR THE FUTURE (ALL)

Health policy and the poor  
Access to services  
Use of services provided  
Service type and modality  
Institutional strengthening and capacity building  
Monitoring of health situation of the poor

Note: all analysis to be disaggregated by gender, geography, settlement type etc.

## ANNEX F

### STUDY PLAN FOR REVIEW OF DESTITUTES POLICY

#### Purpose of the review

The review is intended to examine the appropriateness, effectiveness and efficiency of existing social protection measures under the destitutes policy; and to provide proposals for how this may be improved.

This differs slightly from the other policy reviews within the poverty study, in that: (a) there is less doubt that primary beneficiaries of the policy are poor people; (b) MLHA had already prepared draft terms of reference that set out their main areas of concern; (c) MLHA hopes that the findings will provide the main basis for taking practical steps to refine or reform the destitutes policy.

#### Major aspects of approach

The overall thrust of the review will be to assess whether the 1980 destitutes policy<sup>1</sup> is capable of adequately addressing the needs of society's destitute and other worst-off groups. There have been considerable changes in society since 1980 that have given rise to changes in the nature and incidence of destitution and extreme poverty and changes in how society understands these changes and the way that it copes with them. But so far there has not been significant re-think on how government should go about destitutes provision. The following major aspects of investigation are required:

1. How well does the coverage of existing destitutes provision correspond with the actual numbers and categories of destitute and extremely poor or otherwise disadvantaged people?
2. Is the existing support 'package' capable of meeting the actual needs of the different categories of destitutes, and of doing so in a way that minimises the syndrome of dependency on public provision?
3. Are the institutional and administrative arrangements (especially at local authority level) appropriate for implementing the existing policy in an equitable and efficient manner, and how might these be strengthened?
4. In future how should destitutes provision fit within a broader and more inclusive national framework for social security/protection.

At the outset, it will be important to establish a sound historical perspective on the past/traditional systems of social security and public action to assist destitutes. This will include identifying the types of needy or destitute groups that were supported

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<sup>1</sup> Together with recent revisions to provision for temporary destitution arising from drought (Class B), following the 66th meeting of the RDC in September 1995.



(and those that were not); the adequacy of the support; the historical trends with respect to the continuance, erosion, modernisation and replacement of these systems; and the gaps caused by decline in traditional systems of support.

It will be important to examine destitutes policy within the broader national framework of social security measures. This will include taking into account linkages with drought relief, old age pensions and other existing social safety nets. Existing overall gaps social safety nets will also need to be recognised. The review will assess whether destitution remains an adequate notion for identifying the needy or whether a revised policy should take a broader focus, and be linked together with other activities (eg, labour-based public works schemes) to form a more comprehensive national framework.

The 1996 Budget speech announced that: "*with effect from 1st October 1996 everybody who is over 65 years old will receive an old age pension of P100 per month. People over 65 years old who are destitutes will cease to receive destitution allowance and instead, receive old age pension*" (MFDP, 1996). The review will assess the implications of this change on destitutes and destitute provision.

There is a need to examine the possibilities for helping people to overcome destitution. On the basis of the conceptual framework that is being developed by the study team, a destitute's potential to overcome destitution is likely to depend on both receiving income support through the destitutes allowance and obtaining assistance to improve personal capabilities (eg, through adult education or training). The review will assess the extent and adequacy of existing efforts to rehabilitate destitutes, the extent that destitutes are or have become dependent on public support, and what should be the approach to rehabilitation in future.

One of the most important practical outcomes of the review will be to develop a revised set of operational guidelines for the Destitutes Policy. It is generally accepted that the 1980 Destitutes Policy has become outdated, and that there is now a considerable gap between what can be provided under the existing rules for destitutes provision and what is actually needed.

### **Principal research tasks**

The main research tasks required for the review are summarised below:

#### *Liaison with S+CD*

Periodic meetings with S+CD to assist with planning and coordination of the review.

#### *Group session with Chief CDOs (this was held on 17 May) (TD/MM/PM)*

This consisted of up a one day workshop to brainstorm topics in the draft table of contents and identify practical ways of obtaining necessary information and data through the Chief CDOs and other council staff. Considerable cooperation was extended to the review team.

The Chief CDOs were asked to bring the following information:

- latest annual reports (as prepared for annual workshop)
- data form
- details of all staff dealing with destitutes, including qualifications and training
- details of annual capital and recurrent spending on destitutes; including separating out of how much reaches destitutes and how much is administration/ overheads
- destitute characteristics and changes over time e.g. family composition

#### *Review of headquarters records (both MLHA and MLGLH)*

To produce summary information on annual activities, expenditures and benefits (nationally and by district). If necessary this may be undertaken on the basis of a rapid scan of records available, identification of relevant records/ categories to obtain; followed by a visit by research assistant with portable PC to enter the data required.

#### *Review of programme/ case records at selected councils*

Review of programme/ case records at a selection of three or four councils, representing the remote/western part of the country, other rural, urban villages and urban:

- adherence to guidelines and/or *de facto* definition
- selection procedure
- selection, rejection and % coverage of cases considered
- categorisation of types and household circumstances of registered and non-registered destitutes (i.e. refusals)
- could be analyse entry/exit/re-entry patterns using prog, records
- periodic adjustments in the 'package', both for inflation adjustment and changes in composition
- patterns of discretionary adjustment to 'package': shelter; medical care; occasional transport fares; funeral expenses; exemption from various council charges, tools for rehabilitation projects
- reporting procedures, distribution, timeliness and follow-up
- in consultation with SWOs, prepare 3-4 case studies of how policy is implemented for different categories of destitutes

This will require an initial reconnaissance visit to a nearby council to the purpose of assessing the available records and deciding what information to obtain and what format to use. Subsequently a data analyst will assist with data collection/input using a portable PC.

#### *Topics for inclusion in Rapid Poverty Profile*

The review should be accorded a small amount of space in the RPP research instrument in order to find out what poor people think of the destitutes policy. For example:

- case studies (e.g. focus group item) on how people become destitute and whether it is possible for them to later graduate out of destitution

- views on the stigma associated with being a destitute and any possible effects of this (e.g. being ostracised);
- how can people qualify for destitutes allowance, how difficult is this, and why?
- to what extent do those in need generally gain access to destitutes allowance, and which needy groups need to be better supported?
- views on the competence, consideration and fairness of council staff dealing with destitutes
- views on the composition of the package

#### *Other approaches to gaining insights into the profile of destitutes*

If necessary, some limited qualitative survey work might be included to gain better insights into the situation of the destitute in nearby districts. However, it should be noted that this will need to be either: (a) very short, accepting that not much of it will actually be usable in the report; or conceivably (b) very carefully crafted in order to be more usable. This would be undertaken by MD.

#### *Short survey of SWOs/CDAs/CDOs/ACDOs*

This is intended to assist in identifying the competence and adequacy of the existing staff dealing with destitutes, to learn about their perceptions and problems and their ideas for improving the policy:

- details of the SWOs position, qualifications, years experience and destitutes-related training received
- brief description of main day-to-day duties and allocation of time between these
- identification of main types of destitution evident in their area in past, present and future
- identification of material and other circumstances of typical registered destitutes (i.e. shelter; household/ family circumstances and access to care givers; capacity to find employment or take part in (any) council rehabilitation activities)
- test knowledge of existing scheme: e.g. eligibility criteria, duration of support, rules for composition/ variation of package, obligations of beneficiaries,
- description of each step in the identification/ selection/ rejection process;
- statement of main difficulties faced in administering destitutes provision.
- statement of main difficulties faced in reaching all destitutes and estimation of total number of unreached destitutes by category (e.g. as proportion of no. registered)
- statement regarding the extent of abuse of destitutes provision, including whether dependency is a major problem or not

#### *Comparison of destitutes package with HIES/poverty datum line*

Short analytical exercise to assessing what support very poor households actually need in order to reach the PDL. It may then be possible to identify the shortfall/surplus between the destitutes package and the PDL, taking into account typical household composition etc..

### *Gaborone interview programme*

All team members will undertake programmes of interviews taking in each of the main sources of information and opinion e.g. MLHA, MLGLH; S+CD; Red Cross; AIDS/STD Unit; etc. These programmes will need to be coordinated between team members in order to avoid duplication and ensure that team members help each other out when necessary.

The main subjects of these interviews are likely to include:

- the changing face of destitution and extreme poverty - projected changes in the main types; locations; family situations and numbers
- existing programme design and institutional arrangements
- alternative scenarios for social security/protection in future
- possible roles for NGOs
- operational guidelines

### *District interview programme*

To include council secretaries town clerks, councillors, district commissioners, S+CD staff and NGOs (if any). The interviews should be semi-structured on the basis of an agreed checklist of main topics including:

- preparation of chronology of panel summarising main events/ milestones (nationally)
- how people enter/ exit destitution
- the main destitute groups of the past, present and future (inc. retired/ elderly/ non-able bodied below 65y; RADs; children in difficult circumstances; disabled; AIDS orphans; AIDS sufferers and their families.
- find out how to estimate total population of destitutes, including those not considered for registration
- official definition
- selection procedures
- adequacy and variations in the 'package' destitutes receive, including how decisions made on Group A Vs Group B etc.
- delivery modalities (i.e. coupons versus direct rations)
- institutional and human resource capacity for running a destitutes programme
- relationship with drought, poverty reduction and other govt. schemes
- approach (if any) to promoting rehabilitation and avoiding dependency
- what the P100 pension should cover and whether some aspects of destitutes provision will still be needed for the over 65y group?
- operational guidelines

### **Assignment of study tasks to team members and timetable**

Assignment of study tasks is suggested as follows:

No.	Study activity	Task Group Leader	Institutions/ programme analyst	Beneficiary analyst	Environment adviser
		TD	PM	MM*	RJ/BM
	Assess environment issues	—	—	—	1
	Liaison with S+CD	1	—	—	—
	CDO group sessions	1	1	1	—
	Review HQ records	1	0.5	1	—
	Review council records	0.5	1	2	—
	Snap survey of SWOs	1	2	—	—
	Comparison with PDL	1	—	—	—
	District interviews	3	3	5	—
	Gaborone interviews	2	2	2	—
	Prepare draft report	6	5	5	1
	Study group meetings	1	1	1	—
		17.5	16.5	17	2

\* MM also responsible for advising on treatment of gender issues.

### Composition of study group

The proposed membership of the study group is as follows:

Mrs S Seisa, DCSW  
 Mrs Molojane, DCSW  
 1 or 2 Chief CDOs from nearby councils  
 AIDS/STD Unit representative (?)  
 MLGLH representative  
 Red Cross or BOCONGO

## Appendix

### Draft report structure

While the structure of the report cannot be finalised until the review team has gained familiarity with the facts and issues involved, it is nevertheless useful to set out a preliminary table of contents showing how/where the main topics will be addressed and who will be responsible for particular tasks.

#### 1. SUMMARY (TD)

#### 2. INTRODUCTION AND BACKGROUND

##### Introduction (TD)

The historical perspective to destitutes provision in Botswana (PM)

The influence of traditional systems of social security (and public action)

The origins of the destitutes policy –

Overview of past activities under the policy (including chronology panel) (TD)

Purpose of the policy review (TD)

Conceptual basis (TD)

operational definition of the problem of destitution

drought-induced temporary destitution versus structural poverty

links between destitutes provision and poverty reduction

Destitutes provision in the wider context of social security provision (TD)

#### 3. MAIN ISSUES REGARDING THE DESTITUTES POLICY

Synopsis of the 4-6 main issues emerging from the review (TD)

#### 4. PROFILE OF DESTITUTION

The nature and extent of destitution (MD)

discuss/profile main types/causes of destitution (inc. case studies)

how destitution affects other people (e.g. kids advancement)

rough estimation of total population of destitutes by type

vulnerability and the dynamics of destitution (ie, explanation of in/out)

Changes in destitution (also explaining changes in needs) (TD)

the elderly (use HIES/census to see if elderly live with families etc)

the infirm

the children of society's worst-off

AIDS orphans and others affected by AIDS

the ultra poor?

geographical and rural/urban factors

changes in traditional mechanisms e.g. extended family (use census/ HIES?)

Other needy groups that are not deemed destitute (MM)

youth/ able bodied

mothers and children ???

Issues arising from profile of destitution (MM/md)

5. BENEFICIARIES OF DESTITUTES PROVISION
- Analysis of beneficiaries (inc. panel) (MM)
    - rural Vs urban etc..
    - by socio-economic/demographic characteristics etc (including RADS)?
  - Trends in destitutes provision and entry/ exit dynamics
    - longitudinal data on Class A/B, and whether meaningful categories
    - what helps destitutes graduate out (can this be promoted?)
  - Assessment of coverage rates (MM)
    - beneficiaries/ total in need, by type of destitute
    - the consequences of exclusion
  - Patterns in benefit levels (MM)
    - extent of basic versus various add-ons (e.g. transport, education etc)
  - Opinions of poor people about information, access and benefit levels (MM/PPA)
  - Identification of access issues and constraints (MM)
6. PROGRAMME DESIGN AND INSTITUTIONAL ARRANGEMENTS
- Definition, eligibility criteria (list and assess) (PM+td)
    - inc. age; coverage; non-able bodied; alone; without assets
    - Comparison with HIES/ census information
    - Variations in definitions in practice
  - Beneficiary selection
    - Selection procedure
    - Selection problems e.g. coffins issue
  - The existing support package (TD)
    - shelter? disability benefits, health care? etc - compare with HIES/PDL
  - Implications of introduction of old age pensions (PM)
  - Analysis of programme expenditures (TD)
    - Activity levels and costs on a district or sub-district basis
    - Composition of costs (capital Vs recurrent; overhead Vs direct benefits)
  - Existing rehabilitation activities (PM)
  - Complementarity with other policies/programmes (PM)
    - RADP
    - Rehabilitation programmes etc
  - Costs and benefits of combining beneficiary types (e.g. orphans?) (PM+mm)
  - Effectiveness and efficiency of service /delivery modalities (PM)
    - range of modalities (inc vouchers Vs cash etc)
    - logistical problems/ remoteness
    - transport availability
  - Capabilities, attitudes and practices of responsible government officials (PM+td)
    - qualifications and training
    - inc. snap survey
    - supervision
  - Institutional factors affecting coherence, effectiveness and efficiency (PM)
    - central and local government responsibilities (inc re AIDS)
    - transfer of responsibilities from MLGLH to MLHA
  - Role of NGOs in destitutes provision (SOS +1 only) (PM)
  - Identification of constraints (PM)

## 7. POLICY CHOICES FOR THE FUTURE (ALL)

Inclusiveness and the right to safety nets (TD+mm)

Destitutes provision, old age pensions and the social security framework (TD+pm)

assess the various policy options/ combinations

Policies to complement traditional systems<sup>1</sup> (PM)

social insurance

day care

Cost and affordability scenarios (TD)

Operational guidelines (TD+pm+mm)

definition and eligibility

duration of eligibility

the package (including rehabilitation aspects)

dependency avoidance

Institutional strengthening and capacity building for social welfare system (PM)

Note: all analysis to be disaggregated by gender, geography, settlement type etc.

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<sup>1</sup> For example: tax deduction; public housing priority; some other equivalent bonus if adult living with parents; multipurpose day care centres for old; Bobonong experiment in community approaches to caring for AIDS orphans.



## ANNEX G

### STUDY PLAN FOR REVIEW OF FINANCIAL ASSISTANCE POLICY

#### Introduction

FAP was established in 1982 with the main objective of stimulating sustainable, productive employment. It subsidises such employment creation through the provision of non-repayable grants to eligible businesses. The policy was a response to the level of unemployment in Botswana, and the perception that the unemployment problem would get worse given the relatively high rate of population growth and the inability of the agricultural sector to provide incomes above bare subsistence level for any significant proportion of the population. A secondary objective was to encourage economic diversification away from dependence upon the minerals sector, especially diamonds.

The overall FAP actually consists of two separate schemes, one for small scale (SS) enterprises, which is restricted to citizens, and one for medium and large scale (MLS) enterprises, which is open to all. Eligible enterprises are those in manufacturing, certain types of non-traditional agriculture, and small and medium scale mining. The SS FAP scheme makes available capital grants with the aim of relieving the capital constraint facing small scale citizen entrepreneurs at start-up. The MLS scheme comprises a number of elements, of which the most important is an unskilled labour subsidy. There is also a training subsidy. Most payments under the MLS scheme represent an operational subsidy (rather than capital cost subsidy) and are made at a diminishing rate over a five year period. The approval of applications for FAP grants is handled by MFDP, MCI, MoA, MMRWA, and the district councils, depending on the type of application. Payments are handled by NDB.

The FAP has been evaluated three times since its inception (1984, 1988 and 1994) and a number of changes have been made as a result of these evaluations.

#### FAP and Intended Mechanisms for Poverty Alleviation

The main mechanism through which FAP was intended to have an impact on poverty is through the generation of new employment. Jobs created in FAP-supported enterprises are in the formal sector and thus should pay at least the minimum wage (MW). Although the MW is not particularly high (an "average" family with an "average" number of wage earners at the MW would fall just below the poverty line) it should be compared with the alternatives open to employees. If FAP-supported jobs are net new jobs (that is, they would not have gone ahead anyway without FAP and do not displace jobs in other firms) then the workers in these jobs would otherwise have been (i) unemployed, or (ii) engaged in subsistence agriculture, or (iii) engaged in informal sector activities (in either the rural or urban areas). Incomes in all of these activities are likely to have been significantly below the MW.

A secondary mechanism is that FAP was also intended to encourage the training of employees and the raising of productivity. Both of these would be expected to improve incomes (either by direct sharing in productivity gains by workers or indirectly by promoting worker mobility between jobs) and thus have a further poverty alleviation effect.

Thirdly, FAP should generate profits for the owners of supported business. At least for SS FAP, these owners are Batswana some of whom might otherwise be in poverty.

### **Issues for Investigation**

A number of key issues and questions can be identified relating to the impact of the FAP on poverty:

#### *1. Numbers of jobs created:*

- how successful has FAP been in creating new jobs? has it made a significant contribution to job creation in the relevant sectors (e.g. manufacturing)?
- to what extent are these jobs sustainable; will they survive when recipient firms reach the end of the FAP grant period; does the structure of the scheme encourage the creation of firms which are only viable when receiving grants, but not in the long term as independent entities?
- would the jobs apparently created in FAP firms have been created anyway; i.e. is FAP simply providing a bonus to the owners of firms who would have set up the same enterprises without FAP? are FAP jobs displacing jobs in other firms which do not get FAP?

#### *2. Wage levels:*

- what kinds of wages are paid in FAP firms? how do they relate to the minimum wage (at or above?)
- are these wages sufficient to lift people out of poverty? (related to number of dependants as well as minimum wage issues)
- how do these wages compare with the incomes which employees could earn in alternative occupations (if no FAP) - has being employed in FAP-supported jobs made any difference to peoples' incomes?

#### *3. Types of jobs created; training*

- are the jobs in FAP firms mostly skilled or unskilled?
- has FAP encouraged the training of workers?
- has any training or experience gained improved their wage/income levels or available job opportunities (labour marketability)?

#### *4. Beneficiaries:*

- what kinds of people are getting jobs in FAP firms?

- what was their background (in terms of poverty classifications)?; where were they from (rural/urban/geographical)?
- how are benefits shared between unskilled and skilled workers, and owners (Batswana/non-citizens)?
- are particular groups of people (by gender, location etc., systematically excluded from FAP jobs)?
- are workers' skills, job mobility, savings capacity and future wage prospects improved sufficiently to provide a route out of poverty?

5. *Gender impact:*

- no's of male, female employees in FAP firms; changes over time; comparison with labour force as a whole
- skills and wage levels by gender

6. *Regional impact*

- regional distribution of FAP grants and jobs, wages, origins of beneficiaries;
- what has been the impact of FAP on the economic sustainability of different regions of Botswana?
- has FAP made any contribution to improving rural economic opportunities and sustainability?

7. *Wider impact*

- how many people are supported by FAP employees?;
- does FAP enable increased urban-rural remittances; to what extent?

8. *Expenditure/cost to government:*

- what has been the cost of FAP, in terms of grants paid (under different categories) and overhead/administrative costs?
- is there a financial constraint which limits the coverage of the scheme (i.e. is the available budget exhausted each year?)

9. *Institutional character*

- what are the institutional constraints to the implementation of the scheme (at different levels)?
- is the scheme efficiently promoted and administered, with minimal scope for abuse?

10. *Constraints*

- what are the other constraints to the impact of FAP in alleviating poverty (perhaps wider economic constraints)?
- which of institutional, financial, economic or other constraints are more important in restricting the poverty alleviation impact?

The 1994 evaluation of FAP concluded that the scheme had made a significant impact on employment creation. It paid particular attention to issues such as the extent to which FAP grants paid additional subsidies for jobs which would have been created anyway, and to the survival rate of FAP-supported firms. In examining the cost to government of jobs created, it included both the direct cost of grants and indirect overhead costs. It concluded that costs per job were reasonable for SS FAP but rather higher for MLS FAP, and made recommendations (mostly accepted by government) for reducing the generosity of MLS grants, reducing the potential for abuse of the scheme, and improving monitoring of FAP-assisted firms.

### **Data Requirements and Availability**

One of the main differences between this review of FAP (from a poverty perspective) and earlier evaluations is the much greater emphasis that will have to be placed upon the workers in FAP firms rather than the firms themselves.

### **Existing Data**

There is a considerable amount of data already existing about FAP. Those government departments involved in administering FAP keep data on applications, approvals and disbursements. Unfortunately this information is spread across a number of locations, is of varying quality and completeness, and historically has not been systematically compiled into an overall FAP database. The 1994 FAP evaluation put considerable effort into collecting, cleaning and compiling this data into such a database; this database should be available to the present research team. The evaluation also made recommendations for improvements in the maintenance of FAP data records by government, but it has not yet been ascertained as to whether any improvements have been implemented. Data currently available therefore includes:

#### *Results of 93/94 evaluation*

- jobs created
  - survival rates of firms
  - cost per job (including overhead/admin. costs)
- (all the above disaggregated by SS and MLS FAP recipients);
- estimates of job displacement (jobs which would have been created without FAP)
  - estimates of net benefit (wages less incomes in alternative occupations)
  -

#### *FAP database from 1993/94 FAP evaluation*

This contains details of all firms which have received FAP grants, and includes information on grants received in different categories (e.g. capital grant, labour grant etc.); survival of firms; employment levels at different points in time.

#### *MFDP/MCI/MoA/MMRWA/NDB data*

(any improvements following recommendations of last evaluation?)

- FAP applications; recipients; disbursements (?)
-

## **New data required**

Previous work on FAP has concentrated at the level of the firm, specifically on the level of FAP grants received and relating this to aggregate numbers of jobs (per firm) and in the survival rates of firms (and jobs). This is useful for evaluating the overall impact of FAP on employment creation, and its costs, but it is less useful for evaluating the poverty alleviation impact of FAP, which requires information on the workers affected by FAP (rather than the firms). Essentially the need is for disaggregated employment data (by gender, skill levels, employment duration, wage levels, other worker characteristics). This will enable an evaluation of the impact which FAP has had on income levels, and on the characteristics of the beneficiaries of those increased income levels.

It is possible that some of this data could be obtained from NDB, who keep records on employees (including wage levels) in FAP firms for the purposes of calculating labour grants (although note that the NDB data is not computerised, and that SS FAP data is being decentralised from head office to NDB branches).

An alternative will be to collect new data by approaching firms directly. If we could obtain access to firms' employment records (which they are obliged by law to maintain) this gives information for each employee on wages, length of employment, gender, and age. This could be supplemented by interviews with selected workers to obtain further beneficiary information (e.g. where are they from, have they worked in a wage job previously, what would they be doing if not in the current job, any improvements in skills, how many dependants they support, whether they save or remit etc. etc.).

## **Survey Issues**

Two main issues arise with regard to carrying out surveys of this kind (i) statistical validity, and (ii) method of implementation.

*Statistical Validity* means that any conclusions derived on the basis of a sample can be validly generalised to the population as a whole. The sample must be large enough and selected in such a way as to be representative of the population. A number of problems are apparent here (a) we may not have good information on the population (all firms which have received FAP grants); even if we have, then (b) available resources may be inadequate to survey a large enough sample of firms and workers, especially when (c) this requires the whole country to be covered (geographically).

*Survey Implementation* can either be by a postal questionnaire, to be completed and returned by firms, or by personal visits/interviews by researchers. The former has the advantage of being cheap in terms of resources used but typically has low response rates. It would also be more suitable for gathering information about firms (which could be completed by managers) than for gathering information directly from workers. Personal visits obtain a higher response rate and better quality information (misunderstood questions are less likely) but are resource intensive. But this method will be necessary if workers are to be interviewed. Interviews also have the advantage

of being better able to gather qualitative data which can add considerable richness to and facilitate the interpretation of quantitative data.

It may be necessary to drop the requirement of statistical validity, and instead aim for results which are indicative. This would enable us to concentrate on firms in Gaborone and a few selected other locations, rather than trying to cover the whole country. A postal survey may be suitable for firms outside of Gaborone, but note that a combination of postal and interview methods would not be statistically rigorous.

### Proposed data gathering methodology

#### 1. Literature review.

*Primarily the results of the three FAP evaluations, but also a number of other studies which touch on the operation and impact of FAP.*

#### 2. Obtain the database of FAP firms from the 1993/94 evaluation.

#### 3. Contact MCI and MFDP (and possibly MMRWA and MoA) to obtain data on FAP applications and approvals since 1993.

#### 4. Contact NDB to obtain access to their FAP files; evaluate whether their employee level data meets present requirements.

#### 5. Prepare questionnaire form to obtain data from firms currently receiving FAP grants.

*The data would relate to wages and employment and would be a subset of the data kept by firms on their employee record cards. The questionnaire would be in a form which could be mailed to firms (outside of Gaborone) for self completion, but which could also be taken personally to firms in Gaborone and left with the managers for completion, or completed by our own research assistant (assuming that firms would grant us access to their employment records). Note that we would not require information on all employees, but that a sample (e.g. one in ten employees) would be sufficient. This would also considerably reduce the workload we are asking of firms and hence raise the chances of a response. The population would be firms currently receiving FAP grants (and possibly still-existing firms which have received grants in the past).*

#### 6. Prepare a questionnaire to obtain data from employees.

*It would be preferable if this questionnaire could be applied to the same employees whose records are sampled under (4) above (although this is not essential). This questionnaire would have to be directly administered, and would require the co-operation of firms in giving access to their employees, as well as the consent of the employees themselves to take part. It would also require a Setswana-speaking enumerator(s).*

#### 7. Interview programme

*This would cover key people involved in the formulation, implementation and evaluation of FAP. While many of them are located in Gaborone, those involved in SS FAP are mostly located in regional IFS offices. It will also include a representative of the BFTU (or individual union) to obtain a workforce perspective.*

## **Principal Research Tasks**

### **Literature review, conceptual framework and methodology (KJ/PO/AP)**

- review the most recent FAP evaluation; also previous two evaluations and other relevant documents
- determine the type of information needed to evaluate FAP from a poverty perspective
- determine what inputs are required from RPP exercise
- selection of firms for interview/data collection

### **Appraisal, collection and analysis of secondary data (MFDP/MCI/NDB/1994) (KJ/PO/SN)**

- assess quality and usefulness of 1994 evaluation data
- assess quality of NDB payments data
- assess quality of MFDP/MCI FAP application/approval data
- on the basis of the above assessments, prepare appropriate recording instruments, and collect the necessary data from above sources (task for research assistant - MD<sup>b</sup> or UB students?)
- data analysis

### **Prepare survey instruments (KJ/PO/SN)**

- decide appropriate methods of collecting data from firms (managers/owners) and employees
- prepare questionnaires/structured interview

### **Expenditure analysis (AP)**

- collect and analyse data on FAP budgets and expenditure by category of recipient and grant type

### **Interview programme: Gaborone (govt., firms) (KJ/AP/PO/ra)**

- key officials at MFDP (FAP unit); MCI (FAP unit, Industrial Affairs, IFS, TIPA); possibly MoA, MLHA (AP/KJ)
- FAP recipient firms/employees in/around Gaborone (KJ/PO/ra)

### **Interview programme: outside Gaborone (IFS, firms) (KJ/AP/PO/ra)**

- IFS field officers (AP/KJ)
- FAP recipient firms/employees (KJ/PO/ra)

### **Analysis of Broader (non-programme) influences (KJ/PO/AP)**

- impact of broader economic influences on FAP take-up and impact

### Activity Programme

No.	Study activity	Task Group Leader	Instits./prog. analyst	Bene-ficiary analyst	Data analyst	Gender adviser	Environ-ment adviser
		KJ	AP	PO	SN	MM	RJ/BM
1.	Literature/methodology	1	1	1	—	—	0.5
2.	Instrument design	1	—	1	1	0.5	0.5
3.	Secondary data evaluation / collection	2	1	2	5	—	—
4.	Expenditure analysis	0.5	2	—	—	—	—
5.	Gaborone interviews	2	2.5	2.5	1	—	—
6.	District interviews	2	2.5	4	—	—	—
7.	Review policy evolution	—	2	—	—	0.5	0.5
8.	Analysis of firm / employee data	1	—	1.5	5	0.5	0.5
9.	Non-programme influences	1	1	1	—	—	—
10.	Prepare draft report	6	3	3	—	0.5	—
11.	Study group meetings	1	1	1	—	—	—
		17.5	16.5	17	12	2	2

### Composition of Study Group

Derek Hudson  
 Jay Salkin (BOB)  
 Representative of MCI/IFS  
 Representative of MoA  
 Representative of BFTU  
 Representative of MFDP FAP unit  
 Private sector representative

### Bibliography

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## Appendix

### Draft report structure

1. **SUMMARY (KJ)**
2. **INTRODUCTION AND BACKGROUND (KJ)**
  - Origins of FAP; rationale for its establishment in the context of employment trends.
  - Evolution of policy (including chronology panel)
  - Purpose of the policy review
  - Relationship to other employment policies (e.g. minimum wage), investment incentives (e.g. LPS) and wider economic policies (diversification, growth);
3. **LINKS TO POVERTY REDUCTION (KJ/PO)**
  - Employment; structure of labour force (formal sector, informal, unemployed, traditional agriculture)
  - Wage/income levels in different labour force segments
  - Relationship between wage levels and poverty;
  - FAP mechanisms for increasing employment, skills, wages
4. **PROGRAMME DESIGN AND INSTITUTIONAL ARRANGEMENTS (AP)**
  - incentive/subsidy structure
  - institutional mechanisms for receipt and evaluation of FAP applications
  - results of evaluations and changes in the scheme  
(the above will all be done separately for SS and MLS FAP)
  - funding arrangements (govt. budget)
  - expenditures over time, by category of scheme and type of grant; overhead/admin. expenses
  - constraints to implementation (financial, institutional)
  - broader economic constraints to employment expansion
5. **FAP RECIPIENTS: FIRM PROFILE (KJ)**
  - numbers and types of firms receiving FAP grants
  - survival rates
  - jobs created and surviving
  - assessment of additionally of FAP jobs
  - conclusion: FAP impact on employment in context of overall employment levels in relevant economic sectors
6. **FAP RECIPIENTS: WORKFORCE (BENEFICIARY) PROFILE (PO)**
  - wages in FAP firms
  - assessment of likely wage/income levels in alternative occupations
  - regional distribution of FAP jobs
  - skill levels of FAP jobs; training and changes in skills, wages over time

- gender impact (numbers and types of jobs (skilled/unskilled), wage levels, by gender)
- impact of FAP on income levels by region, gender
- impact of FAP on savings and remittances
- character of those excluded

#### **7. CONCLUSIONS AND POLICY IMPLICATIONS (ALL)**

- impact on poverty of past FAP; importance of different constraints; relationship to minimum wage
- mechanisms/policy reforms for increasing poverty-alleviation impact of FAP: financial provision, institutional reforms, broader economic measures

## ANNEX H

### STUDY PLAN FOR REVIEW OF ARABLE LANDS DEVELOPMENT PROGRAMME

#### Introduction

Almost 80% of Botswana's population is rural-based, most of whom are poor subsistence farmers living below the poverty datum line. However, these same farmers dominate crop production systems in the country but are unable to produce enough food to generate surpluses for the market. As such Botswana is not self-sufficient in cereals. Domestic production accounts for only 10% of total requirements during drought periods, and 25% in the better years. The country, therefore, depends largely on food imports.

Agriculture holds a central place in the Government's objective of improving the lives of all Botswana. The fact that most people live in rural areas, their accumulated skills and experience with agricultural activities, and the access of all Botswana to tribal lands make the development of agriculture the single most promising activity for improving the access of Botswana to productive employment and higher cash earnings. Because of this, it is acknowledged by GoB that improving agricultural production is a sine qua non for rural poverty alleviation. Also, it has been recognized by GoB that the only sustainable means of helping the rural people out of persistent poverty is the provision of adequate assistance and incentives which will enable them to acquire their own productive assets and modern farm technologies to increase their production and farm incomes.

For the past several years, GoB's policies towards increased production and rural poverty alleviation have been manifested in the provision of direct subsidies and grants to farmers and rural entrepreneurs. These policy objectives have been realised through the implementation of various development programmes. The Arable Land Development Programme (ALDEP) is one of such programmes.

Arable Land Development Programme (ALDEP) was conceived by the Government of Botswana (GoB) in 1977 and became effective in mid 1983. ALDEP was to assist small subsistence farmers to increase the production of basic food grains (sorghum and maize), legumes and sunflower in order to achieve self-sufficiency at the household and national level and raise revenues and improve income distribution. Within this broad definition, the long-term objectives are higher rural revenues and improved income distribution through the sale of marketable surpluses. The immediate objective is higher production of basic food grains, legumes and sunflower, to attain the immediate objective of self-sufficiency at the household and national levels.

In order to achieve the immediate objective of increased production, the project seeks to improve current farming practices by introducing modern farming techniques and strengthening essential support services. The main thrust of the project at

Appraisal was placed on timely delivery of inputs, improved support services, and timely cultural practices. The primary beneficiaries targeted by the project were subsistence farm families ploughing less than 10 ha or who had up to 40 head of cattle. Comparatively, it is expected that crop yields and incomes from ALDEP assisted farmers would be higher than similar categories of farmers who are neither ALDEP farmers nor receive similar kinds of government subsidies and grants for arable farming.

ALDEP has been going on for more than 12 years, has been reviewed several times, evaluated and reformulated. The first phase of the project implementation ended in June 1993, and currently it is in its second phase although, there is no conclusive evidence to attest clearly to differences in production achieved by ALDEP farmers compared with those who did not participate in the project.

### **ALDEP's Strategies for Poverty Alleviation**

ALDEP's impact on poverty alleviation is intended to be realized through increased production and generation of higher farm incomes. The main strategies adopted by ALDEP at appraisal to achieve this goal, were provision of credit and subsidies to farmers to enable them acquire farm investment goods and modern farming techniques, and the strengthening of essential support services. The later includes extension and credit services, marketing, and input supply and distribution systems, and a project coordination and control unit. Also a monitoring and evaluation unit was to be established within the ministry of Agriculture (MoA), the executing Agency of the project.

Farmers were to be provided assistance under the project through medium-term and seasonal credit, respectively, to acquire on-farm investments and seasonal inputs. These were to be channelled through the National Development Bank (NDB) and Botswana Cooperative Bank (BCB). All disbursements for both medium term and seasonal credit were to be in kind. Subsidy was an essential feature of the project. This was to provide incentive to farmers and to reduce the burden of credit payment.

As a result of the introduction of the proposed technological packages and inputs, two main changes in production were envisaged. Yields would increase through improved crop husbandry, control of pests, and timely availability of essential inputs; and production due to expansion of area under cultivation.

Under ALDEP, it was anticipated that the workload of the extension services would considerably increase. This would require upgrading the services, particularly training, motivation and supervision of Agricultural Demonstrators (ADs).

Both NDB and BCB which were to administer loans to the farmers were to receive financial assistance to cover their administrative costs related to the project. In addition, an internationally credit officer with specialization in rural credit was to be recruited to strengthen the management of BCB. Staff of both banks were to receive in-service training as well as external training.

## Key Research Issues

### 1. *Production Effects*

To what extent has ALDEP succeeded in increasing crop yields of the smallholder farmers, and its contribution to the achievement of food security at both household and national levels? What would have happened to the performance of the crop production systems without ALDEP?

### 2. *Income Effects*

How far was ALDEP successful in contributing to the achievement of higher farm incomes and poverty alleviation?

### 3. *Packages and Technology Adoption*

How far were the project components adopted by the beneficiaries? Do the uptake rates conform with expectations. If not what are the inhibiting factors. Are the technical packages appropriate to the participating farmers?

### 4. *Beneficiaries*

Selection of the beneficiaries and criteria used. Does the project include the poorest of the poor people?

### 5. *Gender Impact*

Are women sufficiently represented in the project; project's impacts on women's labour burden.

### 6. *Employment creation*

How far has ALDEP contributed to poverty alleviation through employment creation.

### 7. *Delivery of Project Inputs to target group*

Was the project successful in delivering the goods and services to the intended target group, with particular reference to women, and to what extent?

### 8. *Longer term sustainability of Project results*

Will the activities started under the project continue after project completion, and can they be sustained. This depends on whether there has been a sufficient degree of institution-building among beneficiaries; whether recurrent costs are financially sustainable; and whether the activity is economically viable.

### 9. *Environmental Impacts*

Does the project create any detrimental environmental damages, if any, the nature of impacts.

#### *10. Institutional and Programme Analysis*

Factors relating to operational aspects of project operation, such as procurement, recruitment of staff and technical assistance, coordination between agencies involved in project execution, relations with funding agencies, and other institutional constraints will be looked into.

#### *11. Policy Issues*

How far do some factors relating to the national framework, such as economic policies (adverse or supportive), with particular reference to incentives and budgetary allocations affect the execution of the project.

#### *12. Expenditure/cost to government*

The cost of the project, in terms of grants paid to beneficiaries and overhead and administrative costs need to be examined

### **Approach and Methodological Aspects**

ALDEP was to affect farm production and farm incomes by assisting the farmers to acquire farm investment goods which are crucial to improving crop productivity (through higher technical efficiency in using existing inputs and/or changes in the combinations of input levels). The input mix combinations should not be seen as entirely exogenous; rather they may be a function of farmers' characteristics, especially education, farm size, age of household heads, gender dynamics of households, spatial location of farms, infrastructure, etc., which themselves may determine the demand for ALDEP's assistance packages. Analysis of these possible influences on farm productivity and its resultant effect on poverty reduction may need a variety of data sets and the use of appropriate qualitative and quantitative analytical tools.

### **Data Requirements**

As the project has been underway for more than a decade and has been reviewed many times, a vast amount of information is available. For many of the listed issues that need to be addressed qualitatively, review of documented literature will be undertaken.

There is a database with records on ALDEP farmers within the Ministry of Agriculture (MoA). The study, therefore, intends to draw heavily on this for the detailed quantitative analysis if only the availability and quality of such data conform to the needs of the study. The study, however, will collect primary data on non-ALDEP assisted farmers in order to adequately address some of the key issues. It is envisaged that 120 farmers will be selected for the survey. These farmers will be

categorized into three main groups adopting the same criteria used to classify the ALDEP beneficiaries into three Models.

### Analysis

The study will provide a comparative analysis of some quantifiable parameters such as farm size, crop yields, farm income, household labour, number of dependants, farm assets owned, etc., for ALDEP assisted and non-assisted households to identify what would have happened to the smallholder farming systems in the absence of ALDELP.

Also, since ALDELP beneficiaries are classified into three main groups and there is some evidence of varying adoption rates of ALDEP's packages and yields between the groups, inter-group comparisons of certain selected variables will be undertaken to ascertain whether the groups are distinctly different from one another. The results of this analysis will provide useful information for reevaluating the participating farmers. All mean differences will be statistically tested.

Decision determinants of participating in ALDEP will be examined to find out why some farmers have refused to join ALDEP, probably they are the poorest among the poor who can not satisfy some of the basic requirements of the project. The decision to participate in the project will be modeled for female and male headed households to establish whether certain factors influence ALDEP's participation differently among the two types of households. The variables hypothesized to influence ALDEP participation can be generally classified as those that represent personal characteristics and farm characteristics. The incidence of non-ALDEP participation will be analysed using probit analysis, a technique used to analyze binary-choice models where the response variable is either 1 (yes) or 0 (no).

## Appendix

### Draft Structure of the Report

1. Summary
  2. Introduction
    - Purpose of the policy review
    - Approach and methodological aspects
    - Organization of the report
  3. Background
    - Historical background of ALDEP, objectives and rationale
    - ALDEP within the national economic framework
    - ALDEP and poverty alleviation
    - The agricultural sector
  4. Programme design and institutional arrangements
    - Project area, target group and selection criteria
    - Project components
    - Strategies (incentive and subsidy)
    - Institutional arrangements
  5. Implementation and effectiveness of the project
    - Organization, management and staffing
      - Ministry organization
      - Project management
    - Technical assistance
    - Implementation of the farm input component of the project
      - Target groups and Distribution of farm packages
    - Credit, Training, Extension, and Monitoring & Evaluation
    - Project Costs (expenditure and disbursements)
  6. Project impact on beneficiaries
    - ALDEP target group characteristics
      - Model type
      - Gender, marital status and age
      - Resource endowment
    - Adoption of packages
      - Pattern of adoption
      - Determinants of adoption
    - ALDEP and poverty alleviation
      - Production and income effect by gender
      - Production effect on self sufficiency by gender
- Overall assessment of ALDEP
- Economic impact



- Equity
  - Environmental impact
7. Conclusions and lessons learned
- Achievements
  - Shortcomings
  - Policy implications

Reference materials

Various publications on ALDEP mainly evaluation reports from GoB, IFAD and ADB

## ANNEX I

## STUDY PLAN FOR REVIEW OF BASIC EDUCATION

The current conceptualisation of basic education can be traced to the recommendations of the first National Commission on Education (NCE1) which was appointed in 1975. Among its tasks, the NCE1 was to reflect on how education could contribute to the development of a society bound by Kagisano. One of the major threats to Kagisano that the NCE1 identified was the inequalities in access to education that characterised the education system of the 1970s. The NCE1 therefore recommended among many others, the universalisation of access to basic education. During the 1970s basic education comprised the first seven years of schooling. The NCE1 however recommended the extension of basic education to include the first nine years of schooling as well as non-formal education offered to children of eligible age.

Although the ultimate aim was to attain universal access to the first nine years of education, the fifth National Development Plan 1979-1985 (NDP5) accorded priority to the universalisation of access to primary education. To this end primary education enrolments experienced a 6.25% annual growth rate raising the actual enrolments from 156 890 in 1979 to 209 345 by 1984. By the end of the plan period, 85% of children of eligible age (7-13 years) were enrolled (Republic of Botswana 1985, Lauglo and Marope, 1987). Given this achievement, the sixth National Development Plan (NDP6) aimed to reach the 15% of the children not yet enrolled in primary school as well as to extend access to the first two years of secondary schooling. To some extent, access to junior secondary education was quantified in terms of student progression rates between Standard Seven (last year of primary) and Form One (the first year of secondary school). Again tremendous achievement has been attained. In 1977 35% of primary school students could gain entry into Form One. By 1994 however, 100% progression capacity was attained (Republic of Botswana 1993). All these achievements have implied a tremendous rate of expansion in the basic education system. For instance between 1979 and 1991, primary and secondary enrolments increased by 91% and 342% respectively (Republic of Botswana 1993).

Following a recommendation of the second National Commission on Education (NCE2) the basic education continuum now (1996) covers the first ten years of schooling and enrolls children of 6 to 15 years of age. The ten-year continuum is divided into seven years of primary education and three years of junior secondary education (Republic of Botswana, 1994). Children of age 10 to 15 years enrolled in non-formal education programs also fall under the basic education system. For these children, the plan is integrate them into the formal education system at some stage.

The specific objectives of basic education are articulated separately for primary and secondary education. For primary and special education, the main objectives are: *“to achieve Universal Primary Education; to raise the quality of primary education; and to develop special education as part of the regular education system.”* For secondary education they are: *“to make progress towards universal access to junior secondary education within the framework of universal nine-year basic education;*

*to create a pool of employable people with the basic skills and awareness necessary for further education or for entering the world of work; and to expand training at the senior secondary level so as to meet manpower (sic) needs for employment and further training"* (National Development Plan 1991-1997 [NDP 7] pp. 338-340).

Universal Primary Education (UPE) is not yet achieved. In contrast to an earlier study that estimated net enrolments at 92% (Kann, Mapolelo and Nleya, 1989), the Revised National Policy on Education (RNPE) estimates the net primary enrolment at 83%. The RNPE also notes wide deviations around the national mean enrolment of 83% with the lowest districts recording 65% and the highest recording 95%. For those who complete primary schooling, capacity for 100% progression rate to junior secondary education was attained in 1994. Attainment of universal access to basic education therefore remains a national challenge.

Other than the attainment of universal access to basic education the RNPE identifies the following challenges for the general education system: declining quality as manifest in students' performance on Primary School Leaving Examinations (PSLE), a gender gap in academic achievement particularly in mathematics and science, the need to re-orient the system to prepare students for the world of work, effective management of the education system, cost-effectiveness and cost-sharing in financing education, improving the performance and status of teachers, and making training more responsive and relevant to economic development. With specific reference to basic education, the challenge has been identified as enhancing the employability and capacity for further training of junior secondary school leavers (RNPE, 1994).

### PURPOSE OF THE REVIEW

The review of the basic education policy \ program will serve three main purposes. The first purpose is to critically appraise the suitability of basic education policies/programs' to poverty reduction. Under this purpose, the review will highlight the reality that the education policy, aims and objectives do not explicitly link education in general or basic education in particular to poverty alleviation. The implications of this situation on the effective use of education as one among many poverty alleviation mechanisms will be explored. Still under the same purpose, the review will interrogate the appropriateness (in terms of orientation, content, methods, inputs, etc.) of Botswana's basic education system as a tool for poverty alleviation.

The second purpose is to assess the impact of basic education on the poor. The question raised here is whether education has, despite the absence of explicit policy articulation, served as a mechanism for escaping poverty. Particular effort will be made to ascertain the degree to which the poor and the not-so-poor have differentially benefited from basic education provisions as well as to explain sources of observed differentials.

The third purpose is to suggest strategies for improving the relevance and impact of basic education on poverty reduction.

### BASIC EDUCATION AND POVERTY ALLEVIATION

Unlike some of the policies and programs to be reviewed in this study, the education policy has not been explicitly linked to poverty alleviation. As such, the aims of the education system in general and of the basic education continuum in particular do not make explicit reference to education as a potential tool for poverty reduction. It is therefore not clear if education in general, and basic education in particular is, or has been part of the Government of Botswana's framework for poverty alleviation.

**Issue 1: The issue to be addressed by this review is whether basic education should constitute part of the government's thinking and indeed strategy for poverty alleviation. The future role of education in relation to poverty alleviation is therefore critical. The review has to articulate what this should be.**

Despite the lack of explicit policy articulations on education as a poverty alleviation mechanism, the capability or human capacity approach to the conceptualisation of poverty would suggest that education is the single most significant tool for developing or improving human capacities. Indeed the RNPE notes the importance of basic education in developing students' capacity for further training, education, and employment. Basic education is therefore a necessary entry point towards enhancing human *capabilities*, their *choices*, and opportunities to earn *income*.

**Issue 2: Accepting the relevance of basic education to the three pillars of poverty alleviation, the review will ascertain the degree to which education has served the poor as a mechanism to escape poverty. Or the degree to which it has contributed to their ability to escape poverty.**

**Issue 3: Another critical question to be addressed by the review is 'what type of education would best equip people in general and the poor people in particular with capacities that can enable them to earn income and would improve their choices?'**

It is assumed that education that aims at enhancing human capability will be different in orientation, content and methods from general education whose traditional aim has been the acquisition and mastery of subject matter content.

**Issue 4: The review will have to carefully identify those human capabilities that are likely to facilitate human escape from poverty within the Botswana, regional and international context. It is against those critical capabilities that the appropriateness of the current basic education system can be checked.**

It is highly likely that the type of education that is most relevant to the poor is that which would more immediately improve their opportunities for employment and income generation. In this regard, it is worth noting that the NPE and more strongly the RNPE have endorsed a pre-vocational orientation to primary education and a practical orientation to junior secondary education. This will be attained through the introduction of more practical subjects into the curriculum, a practical approach to

academic subjects, a practical approach to teaching and learning, and a conscious preparation of students for the world of work.

**Issue 5: To the degree that policies already have the appropriate orientation, the review will address the degree to which the actual educational practices are in tune with the policy orientation. Where discrepancies are found, the review will identify constraints to effective implementation and suggest appropriate interventions.**

To the degree that vocational and technical education are the relevant type of education it would be interesting to ascertain if people, particularly poor parents view vocational education as a viable track for their children to pursue.

Although the education policy does not perceive education as a tool for poverty alleviation, poverty is recognised as one of the of the constraints to participating in education. Other perceived constraints are disability, gender and geographical location. To this effect, the RNPE has endorsed recommendations to offer bursaries or destitute allowance to the poor, provide more special schools, develop gender equity policies especially for vocational and technical education, provide larger and better managed boarding schools to capture children from small settlement areas, and provide two-teacher schools. Notice that the quality of teachers in these two-teacher schools is not anticipated to be comparable to those in the regular schools

**Issue 6: The review will have to highlight the interactive relationship between poverty and education. That is, while poverty can hinder educational opportunity, acquisition of education can provide a escape out of poverty. The review will have to make apparent this link to policy makers.**

Because the education policy does not make specific reference to poverty alleviation, the beneficiaries of the education system are hardly if ever disaggregated by poverty groups or class. The education policy aims at the attainment of educational equity for all. For purposes of this review, educational equity is operationalised through three constructs: access, quality, and outcomes.

**Issue 7: Because beneficiaries of the education system are currently not disaggregated by poverty groups this review has to raise and investigate whether the poor and the not-so-poor have equal access to basic education? If not, what are the constraints that inhibit the attainment of equal opportunity?**

Within the context of this review, access is conceptualised as entailing: *enrolment or participation rates, leave outs and drop-outs*. A comparison of the statistics of these indicators for the poor and the not-so-poor will be used to expose access differentials by poverty group.

Another major indicator of equity is comparable quality. Again the review team will have to carefully isolate indicators of educational quality and then establish if there are differentials by poverty groups. Preliminary discussions have isolated the following indicators of quality: *per-pupil expenditure, teacher quality, adequate supply of*

*curriculum and instructional materials, adequate infrastructure like classrooms, desks, boards, electricity for audio-visual aids, support facilities like the libraries, teacher housing, teacher support facilities like supervision, staff development opportunities, etc.*

With regard to per pupil expenditure, it is important to estimate the real as opposed to the intended expenditure on primary and junior secondary students in different parts of Botswana. For instance, in schools where there are acute shortages of classrooms, no electricity, shortage of teacher's quarters, qualified teachers, curriculum and instructional materials, etc. how much does the government really spend on each child relative to expenditure in better endowed schools?

**Issue 8: Against the identified indicators of educational quality the review will establish if there are differences in the quality of education received by the poor and the not-so-poor.**

Performance on national examinations, repetition rates, progression rates, progression to types post-basic-education institutions, will be used as indicators of the distribution of educational outcomes among the poor and the not-so-poor.

**Issue 9: The review will address the question of whether there are consistent patterns of under-achievement by children of the poor. If so, possible explanations will be sought and interventions suggested.**

As indicated in the RNPE, the goals of equity and quality for all are not necessarily translated into reality. For instance, despite the system's capacity, not all children of eligible age are enrolled in primary schools. For those children who are enrolled, some do not have classrooms, or adequate instructional materials.

**Issue 10: Given the discrepancies between policy goals and the reality the review team will have to carefully analyse the implementation and monitoring procedures used in the delivery of the basic education as a critical service. Major points of breakdown will be identified and government espoused strategies for dealing with these breakdowns will be evaluated and suggestions made for improvement.**

Even within the context of comparable equity and quality differences may pertain in the way the poor and the not-so-poor use the services available to them. The choice to use available services could be related to the value attached to the service. A concrete way to establish the value attached to education is to ascertain the degree to which the poor- and the not-so-poor choose to benefit from the provided services. For instance, do they enrol children in school? when children are enrolled, do they support their schooling in technical, moral, and material terms.

**Issue 11: The review will solicit evidence on the relative value that poor people attach to education and the degree to which they support their children's education.**

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- b. policy \ program impact on poverty reduction**
- c. basic education policy and poverty reduction**

## DATA SOURCES DATA COLLECTION METHODS

### Background

#### Secondary Data:

Republic of Botswana, (1977) *Kagisano ka thuto*: Report of the national commission on education. Gaborone: The Government Printer.

Republic of Botswana, (1977) The national policy on education: Government paper no. 1 of 1977. Gaborone: The Government Printer.

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Central Statistics Office, (1979, 1985, 1991), Education statistics. Gaborone: The Government Printer.

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1981, 1991 census. . . HIES.

#### Primary Data:

Interviews with :PS, DPSs, Directors, and REOs Ministry of Education, EOs MLGLH, Council Secretaries, EOs at district level, teachers, students.

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#### Secondary Data:

Levinger, B. (1996), Critical transitions: Human capacity development across the life span. Newton: Education Development Centre.

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Reid, I. (1992), War, skirmish or feint? Education against poverty. *British Journal of Sociology of Education*. 13(4). 465-474.

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Muyeed, A. (1982). Some reflections on education for rural development. *International Review of Education*. 28(2). 227-238.

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1981, 1991 census... HIES.

### **Primary Data**

Interviews with :PS, DPSS, Directors, and REOs Ministry of Education, EOs MLGLH, Council Secretaries, EOs at district level, teachers, students.

Interviews with parents (RPP)

### **Beneficiaries of Basic Education**

#### **Secondary Data:**

same as for **Background** +

Kann, U. , Mapolelo, D. and Nleya, P. (1989). The missing children, achieving basic education in Botswana: The barriers and some suggestions for overcoming them. Gaborone: University of Botswana: National Institute of Research and Documentation.

Dissertations by Marope, 1992, Moorad 198., and Tsayang, 1995.

Marope, P.T.M. (forthcoming), The impact of educational policy reforms in the distribution of educational outcomes. *International Journal of Educational Development*. 3

#### **Primary Data:**

Interviews with :PS, DPSS, Directors, and REOs Ministry of Education, EOs MLGLH, Council Secretaries, EOs at district level, teachers, students. . .

Interviews with parents, parent and student attitude small scale survey (RPP) . . .

### **Institutional Framework and to Delivery Capacity**

#### **Secondary Data:**

same as for **Background +**

Prophet, R. and Rowell, P.M. (1990). The curriculum observed. In W.C. Snyder and P. Ramatsui, (eds) Curriculum in the classroom. Gaborone: Macmillan. 1-56.

Lauglo, J. and Marope, P.T.M. (1987) Education in Botswana 1981-1986 with Swedish support: Evaluation and ideas for future support. SIDA: Education Division. Documents No. 35.

Marope, P.T.M. (1995). BEC project impact and basic education teacher effectiveness study. Gaborone: BEC \ AED and Ministry of Education.

#### **Primary Data:**

same as for **Background**

### **Policy Impact Assessment and Future Orientation**

will be derived from the report.

## REVIEW tasks AND TIME LINE

TASKS	COMPLETION DATE	TASK GROUP LEADER (mm)	INSTITUTIONAL PROGRAM ANALYST (kj)	BENEFICIARY ANALYST (td)	ENVIRON ADVISER (bm \ rj)	TECHNICAL ASSISTANCE (sn)
Design of Survey Instruments & Interview Schedules For Collection of Primary Data	June 10th	1	1	1	-	2
Document Review Statistical Bulletins Education Statistics Review of Literature	June 28th	3	3	4	-	-
Interviews in Gaborone	June 28th	2	2	2	-	-
Interviews in Districts Review of Council Records	July 15th	3	3	3		
Data Analysis Review Team Meetings	July 30th	2 .5	2 .5	2 .5	- -	2 -
Meetings with Study Group		.5	.5	.5	-	-
Draft Report	August 15th	4.5	4	3		-
Final Report	August 30th	1	1	5	-	-
Total Person Days		17.5	17	16.5	-	4



## ANNEX H

### STUDY PLAN FOR REVIEW OF ARABLE LANDS DEVELOPMENT PROGRAMME

#### Introduction

Almost 80% of Botswana's population is rural-based, most of whom are poor subsistence farmers living below the poverty datum line. However, these same farmers dominate crop production systems in the country but are unable to produce enough food to generate surpluses for the market. As such Botswana is not self-sufficient in cereals. Domestic production accounts for only 10% of total requirements during drought periods, and 25% in the better years. The country, therefore, depends largely on food imports.

Agriculture holds a central place in the Government's objective of improving the lives of all Botswana. The fact that most people live in rural areas, their accumulated skills and experience with agricultural activities, and the access of all Botswana to tribal lands make the development of agriculture the single most promising activity for improving the access of Botswana to productive employment and higher cash earnings. Because of this, it is acknowledged by GoB that improving agricultural production is a sine qua non for rural poverty alleviation. Also, it has been recognized by GoB that the only sustainable means of helping the rural people out of persistent poverty is the provision of adequate assistance and incentives which will enable them to acquire their own productive assets and modern farm technologies to increase their production and farm incomes.

For the past several years, GoB's policies towards increased production and rural poverty alleviation have been manifested in the provision of direct subsidies and grants to farmers and rural entrepreneurs. These policy objectives have been realised through the implementation of various development programmes. The Arable Land Development Programme (ALDEP) is one of such programmes.

Arable Land Development Programme (ALDEP) was conceived by the Government of Botswana (GoB) in 1977 and became effective in mid 1983. ALDEP was to assist small subsistence farmers to increase the production of basic food grains (sorghum and maize), legumes and sunflower in order to achieve self-sufficiency at the household and national level and raise revenues and improve income distribution. Within this broad definition, the long-term objectives are higher rural revenues and improved income distribution through the sale of marketable surpluses. The immediate objective is higher production of basic food grains, legumes and sunflower, to attain the immediate objective of self-sufficiency at the household and national levels.

In order to achieve the immediate objective of increased production, the project seeks to improve current farming practices by introducing modern farming techniques and strengthening essential support services. The main thrust of the project at



Appraisal was placed on timely delivery of inputs, improved support services, and timely cultural practices. The primary beneficiaries targeted by the project were subsistence farm families ploughing less than 10 ha or who had up to 40 head of cattle. Comparatively, it is expected that crop yields and incomes from ALDEP assisted farmers would be higher than similar categories of farmers who are neither ALDEP farmers nor receive similar kinds of government subsidies and grants for arable farming.

ALDEP has been going on for more than 12 years, has been reviewed several times, evaluated and reformulated. The first phase of the project implementation ended in June 1993, and currently it is in its second phase although, there is no conclusive evidence to attest clearly to differences in production achieved by ALDEP farmers compared with those who did not participate in the project.

### **ALDEP's Strategies for Poverty Alleviation**

ALDEP's impact on poverty alleviation is intended to be realized through increased production and generation of higher farm incomes. The main strategies adopted by ALDEP at appraisal to achieve this goal, were provision of credit and subsidies to farmers to enable them acquire farm investment goods and modern farming techniques, and the strengthening of essential support services. The later includes extension and credit services, marketing, and input supply and distribution systems, and a project coordination and control unit. Also a monitoring and evaluation unit was to be established within the ministry of Agriculture (MoA), the executing Agency of the project.

Farmers were to be provided assistance under the project through medium-term and seasonal credit, respectively, to acquire on-farm investments and seasonal inputs. These were to be channelled through the National Development Bank (NDB) and Botswana Cooperative Bank (BCB). All disbursements for both medium term and seasonal credit were to be in kind. Subsidy was an essential feature of the project. This was to provide incentive to farmers and to reduce the burden of credit payment.

As a result of the introduction of the proposed technological packages and inputs, two main changes in production were envisaged. Yields would increase through improved crop husbandry, control of pests, and timely availability of essential inputs; and production due to expansion of area under cultivation.

Under ALDEP, it was anticipated that the workload of the extension services would considerably increase. This would require upgrading the services, particularly training, motivation and supervision of Agricultural Demonstrators (ADs).

Both NDB and BCB which were to administer loans to the farmers were to receive financial assistance to cover their administrative costs related to the project. In addition, an internationally credit officer with specialization in rural credit was to be recruited to strengthen the management of BCB. Staff of both banks were to receive in-service training as well as external training.

## Key Research Issues

### 1. *Production Effects*

To what extent has ALDEP succeeded in increasing crop yields of the smallholder farmers, and its contribution to the achievement of food security at both household and national levels? What would have happened to the performance of the crop production systems without ALDEP?

### 2. *Income Effects*

How far was ALDEP successful in contributing to the achievement of higher farm incomes and poverty alleviation?

### 3. *Packages and Technology Adoption*

How far were the project components adopted by the beneficiaries? Do the uptake rates conform with expectations. If not what are the inhibiting factors. Are the technical packages appropriate to the participating farmers?

### 4. *Beneficiaries*

Selection of the beneficiaries and criteria used. Does the project include the poorest of the poor people?

### 5. *Gender Impact*

Are women sufficiently represented in the project; project's impacts on women's labour burden.

### 6. *Employment creation*

How far has ALDEP contributed to poverty alleviation through employment creation.

### 7. *Delivery of Project Inputs to target group*

Was the project successful in delivering the goods and services to the intended target group, with particular reference to women, and to what extent?

### 8. *Longer term sustainability of Project results*

Will the activities started under the project continue after project completion, and can they be sustained. This depends on whether there has been a sufficient degree of institution-building among beneficiaries; whether recurrent costs are financially sustainable; and whether the activity is economically viable.

### 9. *Environmental Impacts*

Does the project create any detrimental environmental damages, if any, the nature of impacts.

#### *10. Institutional and Programme Analysis*

Factors relating to operational aspects of project operation, such as procurement, recruitment of staff and technical assistance, coordination between agencies involved in project execution, relations with funding agencies, and other institutional constraints will be looked into.

#### *11. Policy Issues*

How far do some factors relating to the national framework, such as economic policies (adverse or supportive), with particular reference to incentives and budgetary allocations affect the execution of the project.

#### *12. Expenditure/cost to government*

The cost of the project, in terms of grants paid to beneficiaries and overhead and administrative costs need to be examined

### **Approach and Methodological Aspects**

ALDEP was to affect farm production and farm incomes by assisting the farmers to acquire farm investment goods which are crucial to improving crop productivity (through higher technical efficiency in using existing inputs and/or changes in the combinations of input levels). The input mix combinations should not be seen as entirely exogenous; rather they may be a function of farmers' characteristics, especially education, farm size, age of household heads, gender dynamics of households, spatial location of farms, infrastructure, etc., which themselves may determine the demand for ALDEP's assistance packages. Analysis of these possible influences on farm productivity and its resultant effect on poverty reduction may need a variety of data sets and the use of appropriate qualitative and quantitative analytical tools.

### **Data Requirements**

As the project has been underway for more than a decade and has been reviewed many times, a vast amount of information is available. For many of the listed issues that need to be addressed qualitatively, review of documented literature will be undertaken.

There is a database with records on ALDEP farmers within the Ministry of Agriculture (MoA). The study, therefore, intends to draw heavily on this for the detailed quantitative analysis if only the availability and quality of such data conform to the needs of the study. The study, however, will collect primary data on non-ALDEP assisted farmers in order to adequately address some of the key issues. It is envisaged that 120 farmers will be selected for the survey. These farmers will be

categorized into three main groups adopting the same criteria used to classify the ALDEP beneficiaries into three Models.

### Analysis

The study will provide a comparative analysis of some quantifiable parameters such as farm size, crop yields, farm income, household labour, number of dependants, farm assets owned, etc., for ALDEP assisted and non-assisted households to identify what would have happened to the smallholder farming systems in the absence of ALDELP.

Also, since ALDELP beneficiaries are classified into three main groups and there is some evidence of varying adoption rates of ALDEP's packages and yields between the groups, inter-group comparisons of certain selected variables will be undertaken to ascertain whether the groups are distinctly different from one another. The results of this analysis will provide useful information for reevaluating the participating farmers. All mean differences will be statistically tested.

Decision determinants of participating in ALDEP will be examined to find out why some farmers have refused to join ALDEP, probably they are the poorest among the poor who can not satisfy some of the basic requirements of the project. The decision to participate in the project will be modeled for female and male headed households to establish whether certain factors influence ALDEP's participation differently among the two types of households. The variables hypothesized to influence ALDEP participation can be generally classified as those that represent personal characteristics and farm characteristics. The incidence of non-ALDEP participation will be analysed using probit analysis, a technique used to analyze binary-choice models where the response variable is either 1 (yes) or 0 (no).

## Appendix

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Reference materials

Various publications on ALDEP mainly evaluation reports from GoB, IFAD and ADB

## ANNEX I

## STUDY PLAN FOR REVIEW OF BASIC EDUCATION

The current conceptualisation of basic education can be traced to the recommendations of the first National Commission on Education (NCE1) which was appointed in 1975. Among its tasks, the NCE1 was to reflect on how education could contribute to the development of a society bound by Kagisano. One of the major threats to Kagisano that the NCE1 identified was the inequalities in access to education that characterised the education system of the 1970s. The NCE1 therefore recommended among many others, the universalisation of access to basic education. During the 1970s basic education comprised the first seven years of schooling. The NCE1 however recommended the extension of basic education to include the first nine years of schooling as well as non-formal education offered to children of eligible age.

Although the ultimate aim was to attain universal access to the first nine years of education, the fifth National Development Plan 1979-1985 (NDP5) accorded priority to the universalisation of access to primary education. To this end primary education enrolments experienced a 6.25% annual growth rate raising the actual enrolments from 156 890 in 1979 to 209 345 by 1984. By the end of the plan period, 85% of children of eligible age (7-13 years) were enrolled (Republic of Botswana 1985, Lauglo and Marope, 1987). Given this achievement, the sixth National Development Plan (NDP6) aimed to reach the 15% of the children not yet enrolled in primary school as well as to extend access to the first two years of secondary schooling. To some extent, access to junior secondary education was quantified in terms of student progression rates between Standard Seven (last year of primary) and Form One (the first year of secondary school). Again tremendous achievement has been attained. In 1977 35% of primary school students could gain entry into Form One. By 1994 however, 100% progression capacity was attained (Republic of Botswana 1993). All these achievements have implied a tremendous rate of expansion in the basic education system. For instance between 1979 and 1991, primary and secondary enrolments increased by 91% and 342% respectively (Republic of Botswana 1993).

Following a recommendation of the second National Commission on Education (NCE2) the basic education continuum now (1996) covers the first ten years of schooling and enrolls children of 6 to 15 years of age. The ten-year continuum is divided into seven years of primary education and three years of junior secondary education (Republic of Botswana, 1994). Children of age 10 to 15 years enrolled in non-formal education programs also fall under the basic education system. For these children, the plan is integrate them into the formal education system at some stage.

The specific objectives of basic education are articulated separately for primary and secondary education. For primary and special education, the main objectives are: *“to achieve Universal Primary Education; to raise the quality of primary education; and to develop special education as part of the regular education system.”* For secondary education they are: *“to make progress towards universal access to junior secondary education within the framework of universal nine-year basic education;*

*to create a pool of employable people with the basic skills and awareness necessary for further education or for entering the world of work; and to expand training at the senior secondary level so as to meet manpower (sic) needs for employment and further training"* (National Development Plan 1991-1997 [NDP 7] pp. 338-340).

Universal Primary Education (UPE) is not yet achieved. In contrast to an earlier study that estimated net enrolments at 92% (Kann, Mapolelo and Nleya, 1989), the Revised National Policy on Education (RNPE) estimates the net primary enrolment at 83%. The RNPE also notes wide deviations around the national mean enrolment of 83% with the lowest districts recording 65% and the highest recording 95%. For those who complete primary schooling, capacity for 100% progression rate to junior secondary education was attained in 1994. Attainment of universal access to basic education therefore remains a national challenge.

Other than the attainment of universal access to basic education the RNPE identifies the following challenges for the general education system: declining quality as manifest in students' performance on Primary School Leaving Examinations (PSLE), a gender gap in academic achievement particularly in mathematics and science, the need to re-orient the system to prepare students for the world of work, effective management of the education system, cost-effectiveness and cost-sharing in financing education, improving the performance and status of teachers, and making training more responsive and relevant to economic development. With specific reference to basic education, the challenge has been identified as enhancing the employability and capacity for further training of junior secondary school leavers (RNPE, 1994).

### PURPOSE OF THE REVIEW

The review of the basic education policy \ program will serve three main purposes. The first purpose is to critically appraise the suitability of basic education policies/programs' to poverty reduction. Under this purpose, the review will highlight the reality that the education policy, aims and objectives do not explicitly link education in general or basic education in particular to poverty alleviation. The implications of this situation on the effective use of education as one among many poverty alleviation mechanisms will be explored. Still under the same purpose, the review will interrogate the appropriateness (in terms of orientation, content, methods, inputs, etc.) of Botswana's basic education system as a tool for poverty alleviation.

The second purpose is to assess the impact of basic education on the poor. The question raised here is whether education has, despite the absence of explicit policy articulation, served as a mechanism for escaping poverty. Particular effort will be made to ascertain the degree to which the poor and the not-so-poor have differentially benefited from basic education provisions as well as to explain sources of observed differentials.

The third purpose is to suggest strategies for improving the relevance and impact of basic education on poverty reduction.

### BASIC EDUCATION AND POVERTY ALLEVIATION



Unlike some of the policies and programs to be reviewed in this study, the education policy has not been explicitly linked to poverty alleviation. As such, the aims of the education system in general and of the basic education continuum in particular do not make explicit reference to education as a potential tool for poverty reduction. It is therefore not clear if education in general, and basic education in particular is, or has been part of the Government of Botswana's framework for poverty alleviation.

**Issue 1: The issue to be addressed by this review is whether basic education should constitute part of the government's thinking and indeed strategy for poverty alleviation. The future role of education in relation to poverty alleviation is therefore critical. The review has to articulate what this should be.**

Despite the lack of explicit policy articulations on education as a poverty alleviation mechanism, the capability or human capacity approach to the conceptualisation of poverty would suggest that education is the single most significant tool for developing or improving human capacities. Indeed the RNPE notes the importance of basic education in developing students' capacity for further training, education, and employment. Basic education is therefore a necessary entry point towards enhancing human *capabilities*, their *choices*, and opportunities to earn *income*.

**Issue 2: Accepting the relevance of basic education to the three pillars of poverty alleviation, the review will ascertain the degree to which education has served the poor as a mechanism to escape poverty. Or the degree to which it has contributed to their ability to escape poverty.**

**Issue 3: Another critical question to be addressed by the review is 'what type of education would best equip people in general and the poor people in particular with capacities that can enable them to earn income and would improve their choices?'**

It is assumed that education that aims at enhancing human capability will be different in orientation, content and methods from general education whose traditional aim has been the acquisition and mastery of subject matter content.

**Issue 4: The review will have to carefully identify those human capabilities that are likely to facilitate human escape from poverty within the Botswana, regional and international context. It is against those critical capabilities that the appropriateness of the current basic education system can be checked.**

It is highly likely that the type of education that is most relevant to the poor is that which would more immediately improve their opportunities for employment and income generation. In this regard, it is worth noting that the NPE and more strongly the RNPE have endorsed a pre-vocational orientation to primary education and a practical orientation to junior secondary education. This will be attained through the introduction of more practical subjects into the curriculum, a practical approach to

academic subjects, a practical approach to teaching and learning, and a conscious preparation of students for the world of work.

**Issue 5: To the degree that policies already have the appropriate orientation, the review will address the degree to which the actual educational practices are in tune with the policy orientation. Where discrepancies are found, the review will identify constraints to effective implementation and suggest appropriate interventions.**

To the degree that vocational and technical education are the relevant type of education it would be interesting to ascertain if people, particularly poor parents view vocational education as a viable track for their children to pursue.

Although the education policy does not perceive education as a tool for poverty alleviation, poverty is recognised as one of the of the constraints to participating in education. Other perceived constraints are disability, gender and geographical location. To this effect, the RNPE has endorsed recommendations to offer bursaries or destitute allowance to the poor, provide more special schools, develop gender equity policies especially for vocational and technical education, provide larger and better managed boarding schools to capture children from small settlement areas, and provide two-teacher schools. Notice that the quality of teachers in these two-teacher schools is not anticipated to be comparable to those in the regular schools

**Issue 6: The review will have to highlight the interactive relationship between poverty and education. That is, while poverty can hinder educational opportunity, acquisition of education can provide a escape out of poverty. The review will have to make apparent this link to policy makers.**

Because the education policy does not make specific reference to poverty alleviation, the beneficiaries of the education system are hardly if ever disaggregated by poverty groups or class. The education policy aims at the attainment of educational equity for all. For purposes of this review, educational equity is operationalised through three constructs: access, quality, and outcomes.

**Issue 7: Because beneficiaries of the education system are currently not disaggregated by poverty groups this review has to raise and investigate whether the poor and the not-so-poor have equal access to basic education? If not, what are the constraints that inhibit the attainment of equal opportunity?**

Within the context of this review, access is conceptualised as entailing: *enrolment or participation rates, leave outs and drop-outs*. A comparison of the statistics of these indicators for the poor and the not-so-poor will be used to expose access differentials by poverty group.

Another major indicator of equity is comparable quality. Again the review team will have to carefully isolate indicators of educational quality and then establish if there are differentials by poverty groups. Preliminary discussions have isolated the following indicators of quality: *per-pupil expenditure, teacher quality, adequate supply of*

*curriculum and instructional materials, adequate infrastructure like classrooms, desks, boards, electricity for audio-visual aids, support facilities like the libraries, teacher housing, teacher support facilities like supervision, staff development opportunities, etc.*

With regard to per pupil expenditure, it is important to estimate the real as opposed to the intended expenditure on primary and junior secondary students in different parts of Botswana. For instance, in schools where there are acute shortages of classrooms, no electricity, shortage of teacher's quarters, qualified teachers, curriculum and instructional materials, etc. how much does the government really spend on each child relative to expenditure in better endowed schools?

**Issue 8: Against the identified indicators of educational quality the review will establish if there are differences in the quality of education received by the poor and the not-so-poor.**

Performance on national examinations, repetition rates, progression rates, progression to types post-basic-education institutions, will be used as indicators of the distribution of educational outcomes among the poor and the not-so-poor.

**Issue 9: The review will address the question of whether there are consistent patterns of under-achievement by children of the poor. If so, possible explanations will be sought and interventions suggested.**

As indicated in the RNPE, the goals of equity and quality for all are not necessarily translated into reality. For instance, despite the system's capacity, not all children of eligible age are enrolled in primary schools. For those children who are enrolled, some do not have classrooms, or adequate instructional materials.

**Issue 10: Given the discrepancies between policy goals and the reality the review team will have to carefully analyse the implementation and monitoring procedures used in the delivery of the basic education as a critical service. Major points of breakdown will be identified and government espoused strategies for dealing with these breakdowns will be evaluated and suggestions made for improvement.**

Even within the context of comparable equity and quality differences may pertain in the way the poor and the not-so-poor use the services available to them. The choice to use available services could be related to the value attached to the service. A concrete way to establish the value attached to education is to ascertain the degree to which the poor- and the not-so-poor choose to benefit from the provided services. For instance, do they enrol children in school? when children are enrolled, do they support their schooling in technical, moral, and material terms.

**Issue 11: The review will solicit evidence on the relative value that poor people attach to education and the degree to which they support their children's education.**

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- 1. EXECUTIVE SUMMARY (MM)**
  
- 2. BACKGROUND (MM)**
  - a. origins of Botswana's concept of basic education**
  
  - b. philosophical foundation of basic education.**
    - (i) practical implications
  
  - c. historical development of basic education**
    - (i) major achievements  
equity; quality; resource provisions; relevance; and  
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    - (ii) current status  
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- 3. PURPOSE OF THE REVIEW**
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#### **4. INSTITUTIONAL FRAMEWORK AND DELIVERY CAPACITY (MM \ KJ)**

- a. institutional structure (MM \ kj)**
  - (i) roles and responsibilities at ministerial level
  - (ii) roles and responsibilities at district level, school level,
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  - (v) critical issues arising from shared responsibility
  
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  - (iii) constraints to delivery of basic education in general

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- a. **beneficiary analysis**
  - (i) intended beneficiaries [FE 7-15; NFE 10-15]
  - (ii) profile of actual beneficiaries disaggregated by gender, location, and poverty group
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- c. **evidence of differential quality**
  - (i) per-pupil expenditure, teacher quality, adequacy of infrastructure, adequacy of curriculum and instructional materials . . .
- d. **evidence of differential outcomes**
  - (i) performance on PSLEs and JCEs by gender, location and poverty group
  - (ii) repetition and progression rates
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- e. **household support for education [by poverty group]**
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- f. **perception on value of education**
  - (i) students and parents perceived value of education, aspirations for further education, preference for academic Vs practical education and training
- g. **beneficiaries views on appropriate basic education**
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**6. POLICY \ PROGRAM IMPACT ASSESSMENT AND FUTURE  
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- a. policy \ program achievement of set objectives**
- b. policy \ program impact on poverty reduction**
- c. basic education policy and poverty reduction**

## DATA SOURCES DATA COLLECTION METHODS

### Background

#### Secondary Data:

Republic of Botswana, (1977) *Kagisano ka thuto*: Report of the national commission on education. Gaborone: The Government Printer.

Republic of Botswana, (1977) *The national policy on education*: Government paper no. 1 of 1977. Gaborone: The Government Printer.

Republic of Botswana, (1979, 1985, 1991) *National Development Plans 5, 6, & 7*. Gaborone: The Government Printer.

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Central Statistics Office, (1979, 1985, 1991), *Education statistics*. Gaborone: The Government Printer.

Basic Education Consolidation Project, (1995), *A graphic look at Botswana . . .*

1981, 1991 census. . . HIES.

#### Primary Data:

Interviews with :PS, DPSs, Directors, and REOs Ministry of Education, EOs MLGLH, Council Secretaries, EOs at district level, teachers, students.

Interviews with parents (RPP)

### Link to Poverty Alleviation

#### Secondary Data:

Levinger, B. (1996), *Critical transitions: Human capacity development across the life span*. Newton: Education Development Centre.

Christie, P. and Gordon, A. (1992), *Politics, poverty and education in rural South Africa*. *British Journal of Sociology of Education*. 13(4). 399-418.

Reid, I. (1992), *War, skirmish or feint? Education against poverty*. *British Journal of Sociology of Education*. 13(4). 465-474.



Petersen, C.D. (1992). Can jobs help the underclass break the cycle of poverty? *Journal of Economic Issues*. 26(1). 243-254.

Williamson, B. (1991). Just holding the line? Education policies to combat poverty. *British Journal of Sociology of Education*. 12(3) 397-401.

Morris, M. and Williamson, J.B. (1987). Workfare: The poverty / dependency trade-off. *Social Policy*. 18(1) 13-16, 49-50.

Muyeed, A. (1982). Some reflections on education for rural development. *International Review of Education*. 28(2). 227-238.

Ram, V.J. (1982). Anti-poverty strategies with reference to the disadvantaged sections of the community. *Indian Journal of Social Work*. 42(4). 364-370

1981, 1991 census... HIES.

### **Primary Data**

Interviews with :PS, DPSS, Directors, and REOs Ministry of Education, EOs MLGLH, Council Secretaries, EOs at district level, teachers, students.

Interviews with parents (RPP)

### **Beneficiaries of Basic Education**

#### **Secondary Data:**

same as for **Background** +

Kann, U. , Mapolelo, D. and Nleya, P. (1989). The missing children, achieving basic education in Botswana: The barriers and some suggestions for overcoming them. Gaborone: University of Botswana: National Institute of Research and Documentation.

Dissertations by Marope, 1992, Moorad 198., and Tsayang, 1995.

Marope, P.T.M. (forthcoming), The impact of educational policy reforms in the distribution of educational outcomes. *International Journal of Educational Development*. 3

#### **Primary Data:**

Interviews with :PS, DPSS, Directors, and REOs Ministry of Education, EOs MLGLH, Council Secretaries, EOs at district level, teachers, students. . .

Interviews with parents, parent and student attitude small scale survey (RPP) . . .

### **Institutional Framework and to Delivery Capacity**

#### **Secondary Data:**

same as for **Background +**

Prophet, R. and Rowell, P.M. (1990). The curriculum observed. In W.C. Snyder and P. Ramatsui, (eds) Curriculum in the classroom. Gaborone: Macmillan. 1-56.

Lauglo, J. and Marope, P.T.M. (1987) Education in Botswana 1981-1986 with Swedish support: Evaluation and ideas for future support. SIDA: Education Division. Documents No. 35.

Marope, P.T.M. (1995). BEC project impact and basic education teacher effectiveness study. Gaborone: BEC \ AED and Ministry of Education.

#### **Primary Data:**

same as for **Background**

### **Policy Impact Assessment and Future Orientation**

will be derived from the report.

## REVIEW tasks AND TIME LINE

TASKS	COMPLETION DATE	TASK GROUP LEADER (mm)	INSTITUTIONAL PROGRAM ANALYST (kj)	BENEFICIARY ANALYST (td)	ENVIRON ADVISER (bm \ rj)	TECHNICAL ASSISTANCE (sn)
Design of Survey Instruments & Interview Schedules For Collection of Primary Data	June 10th	1	1	1	-	2
Document Review Statistical Bulletins Education Statistics Review of Literature	June 28th	3	3	4	-	-
Interviews in Gaborone	June 28th	2	2	2	-	-
Interviews in Districts Review of Council Records	July 15th	3	3	3		
Data Analysis Review Team Meetings	July 30th	2 .5	2 .5	2 .5	- -	2 -
Meetings with Study Group		.5	.5	.5	-	-
Draft Report	August 15th	4.5	4	3		-
Final Report	August 30th	1	1	5	-	-
Total Person Days		17.5	17	16.5	-	4

