

**MAKING USE OF PARTICIPATORY ACTION RESEARCH TO INTEGRATE
NEUROPSYCHOLOGY, COMMUNITY PSYCHOLOGY AND CRIMINOLOGY IN
REHABILITATION INTERVENTIONS**

By

JANEEN MICHELLE PRINSLOO

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DECLARATION

Student Number: 55776841

I declare that MAKING USE OF PARTICIPATORY ACTION RESEARCH TO INTEGRATE NEUROPSYCHOLOGY, COMMUNITY PSYCHOLOGY AND CRIMINOLOGY IN REHABILITATION INTERVENTIONS is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references. I further declare that I submitted the thesis/dissertation to originality checking software and that it falls within the accepted requirements for originality. I further declare that I have not previously submitted this work, or part of it, for examination at Unisa for another qualification or at any other higher education institution.

SIGNATURE

Janeen M Prinsloo

DATE

ACKNOWLEDGEMENTS AND DEDICATION

Most of the persons who did this study with me cannot be mentioned by name in order to respect confidentiality and to protect their anonymity. I therefore do not name individuals here. However, the qualitative nature of this inquiry enables me to express my gratitude to the fellow-travellers who directly and indirectly made this journey possible in and through the story itself.

I would like to express my sincere appreciation to the many colleagues in the following institutions for contributing to this study:

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- The two respective DCS Management Areas where I was fortunate to work as a psychologist and where I could conduct the research. Thank you for supporting the regular changes in routine, for maintaining interest in the project, for encouraging and being part of it.
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The study was initiated for my father's brother, for all our uncles and for their sons.

I want to dedicate this thesis to my mother,
to all our mothers,
and to the community, the mother of us all.

“Let’s imagine a perfect community that cares – how does that look like?”

(Fikile)

“A community that supports one another, that assists one another... in different needs, in basic needs...”

A community where by they are able to know:

*... those who are able to fend for themselves,
...those who are not able to support their families,
...those who are old aged,
...those who are sick.*

They are able to contribute and have a community meeting once in a while that they will be able to talk about what is going on in their community.

Are they safe?

How do they look after one another?

Is the government doing enough for them?

Such communities will be a community that is under the concept of ubuntu.”

(Group applause)

(Participant)

ABSTRACT

This thesis reports on the development, application and testing of a rehabilitation model for carceral settings. The study attempted to integrate evidence-based principles from criminology, community psychology, and neuropsychology in a holistic, continuous and multi-disciplinary project.

A *Concurrent Transformative* approach was used. This involved participatory action research (PAR), not only as a research method, but as key element of the model and as the intervention to be studied. Cell monitors were invited to participate in an action research project which included exemplary representatives from the community. The project spanned a year and a half. This included a five-month period of intense practising of executive functions and Ubuntu ethics education and eight months of weekly meetings focusing on the PAR process. A variety of qualitative methods and quantitative pre and post measurements were applied to explore the impact of the intervention.

Significant changes were found in participants' reported abilities to relax and their executive performance. These findings can be attributed to the intervention combining mindfulness and ethics education with real-life opportunities for executive functioning practice. This is in line with Triune Ethics Theory, which postulates that ethical selves and communities emerge not from top-down moral education but from real-life experiences that shape brain systems.

The quantitative results relating to the impact of the intervention are presented against the backdrop of a qualitative 'landscape of results' relating to the process and experience of what transpired. Bakhtinian dialogism is drawn on to allow different angles, levels and voices to emerge. These qualitative findings unpack: the various 'products' that emerged from the real-life project, the nature of the PAR process, the role of ethics as a spontaneous outcome of the process, and an overview of rehabilitation-related themes that mattered to participants.

From these findings a rehabilitation model was developed that draws on the experiences and insights of incarcerated participants. This model focusses on enabling holistic

change in the context of a 'real-life' project as a basis, that works with two mechanisms: ethics and participation. It incorporates the following elements: social inclusion, purpose, awareness and agency. The integrated model is described in terms of its components, their scientific evidence, their application in the study and recommendations for DCS and future studies.

The thesis concludes that sustainable change is possible if society is included with incarceration so that rehabilitation can occur reciprocally. In this way the impacts of both excluding and being-excluded can be addressed.

Key words: criminology, community psychology, correctional rehabilitation, correctional services, executive functions, narrative visualisation, neuropsychology, participatory action, research ethics, social inclusion, thematic analysis, transformative research

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LIST OF ABBREVIATIONS

ABI	Acquired Brain Injury (neuropsychology)
AWM	Anxiety and Worry Management (BQ scale)
BQ	Bull's Mental Skills Questionnaire (assessment tool)
CA	Concentration Ability (BQ scale)
CCS	Criminal Cognitions Scale (self-questionnaire)
CM	Cell Monitors (correctional centre)
CMC	Case Manager Committee (correctional centre)
CRT	Cognitive Remediation Therapy (neuropsychological treatment)
CSPB	Correctional Supervision and Parole Board (DCS)
DCS	Department of Correctional Services
DHoC	Deputy Head of Centre (DCS)
DKEFS	Delis, Kaplan & Kramer Executive Functioning System (neuropsychological assessment tool)
DL	Dorsolateral brain area (association of EFI second order factor)
EFI	Executive Functioning Index (neuropsychological assessment tool)
EM	Empathy (EFI scale)
FaR	Failure to Accept Responsibility (CCS dimension)
HoC	Head of Centre (DCS)
HoS	Head of Security (DCS)
IA	Imagery ability (BQ scale)
IAEE	International Association of Ethics Education
IC	Impulse Control (EFI scale)
ICEE	International Conference of Ethics Education
liC	Insensitivity to Impact of Crime (CCS dimension)

MD	Motivational Drive (EFI scale)
Mot	Motivation (Mot)
MP	Preparation (BQ scale)
MPG	Matched paired group participants (statistical calculations)
NCCS	National Council for Correctional Services (DCS)
NE	Notions of Entitlement (CCS dimension)
NegA	Negative Attitudes Toward Authority (CCS dimension)
NV	Narrative Visualisation (qualitative research method)
OF	Orbitofrontal brain area (association of EFI second-order factor)
ORG	Organisation (EFI scale)
PAR	Participatory Action Research (qualitative research approach and method)
PostG	Post-assessment group participants (statistical calculations)
PreG	Pre-assessment group participants (statistical calculations)
RA	Relaxation Ability (BQ scale)
REC	Research Ethics Committee
ROC	Records office court yard (DCS)
SC	Self-Confidence (BQ scale)
SP	Strategic Planning (EFI scale)
SRAC	Sports and Recreational Services (correctional centre service)
STO	Short Term Orientation (CCS dimension)
TA	Thematic Analysis (qualitative research method)
TET	Triune Ethics Theory (neuropsychological theory of ethical functioning)
TotG	Total Group (PreG + new PostG members) (statistical calculations)
UM	Unit Manager (DCS)
UNISA	University of South Africa

CHAPTER 1

INTRODUCTION

Truth is not born nor is it to be found inside the head of an individual person, it is born between people collectively searching for truth, in the process of their dialogic interaction.
Bakhtin (1984, p. 110).

This study started with wanting to contribute to the rehabilitation that occurs in incarceration. My ambition was to bring together the principles of three diverse disciplines to propose a model of rehabilitation that could be applied and empirically evaluated, and to make use of participatory enquiry to achieve this end. However, confronted with the ethical reality of incarceration, transformation became the essence of the inquiry and participation shifted from being a means to an end to becoming that what is being studied. A methodological journey followed. This revealed a landscape of results from which Bakhtinian dialogism allowed a model to crystallise – a model which incorporates the rehabilitation not only of people whom had offended, but of society as well.

This chapter serves to explain the background leading to the study and to map how the inquiry is described in the rest of the thesis. It first provides the context in terms of Correctional Services, and then steps back to give personal and biographical information, concluding with the problem statement. The aims and objects of the study are stated. Because of the incorporation of different disciplinary fields some space is provided to explain terminology and the terms being used in the study. The significance of the inquiry is then discussed in terms of corrections, research methodology and rehabilitation. The chapter concludes with an overview of the chapters that are to follow.

1.1 Context of the Study

1.1.1 The South African Department of Correctional Services

Starting in the early 1990s, as the apartheid era was drawing to a close, the Department of Correctional Services (DCS) in South Africa attempted a process of undergoing a paradigm shift from being a custodial institution towards embracing a rehabilitative mission. It hopes to provide “thorough delivery of appropriate programmes, so

that people who leave correctional centres have appropriate attitudes and competencies enabling them to successfully integrate back into society as law-abiding and productive citizens” (Department of Correctional Services, 2005, p. 6). The White Paper on Corrections in South Africa states that in partnership with external stakeholders, rehabilitation is placed at the centre of DCS activities and that its main responsibility is “to correct offending behaviour, in a secure, safe and humane environment, in order to facilitate the achievement of rehabilitation, and avoidance of recidivism” (2005, p. 37). However, it does not indicate how rehabilitation programmes are to be developed and implemented. Muntingh (2005) highlights the complexities inherent in the White Paper’s goals and that effective change of human behaviour requires intense and long-term interventions which are expansive, inclusive, positive, goal focused, behavioural and evidence based.

The concept of rehabilitation has been embraced by society and this is embodied in the Correctional Service Act 111 of 1998. DCS fulfils the responsibility by providing needs-based programmes under the auspices of psychological services, social work services, health services, skills development, spiritual care and correctional services. High recidivism rates have caused some critiques of the current programmes, their implementation and how significant overcrowding and resource constraints impede effective impact (Murhula et al., 2019).

This is the broad historical and institutional context within which the thesis came into being: A context in which the idea of rehabilitation is highly prized, but where the details of how this is to be achieved to a large extent still remain to be developed.

1.1.2 Personal Background

Minichiello and Kottler (2010) state that with qualitative research the initiating researcher’s individual background, agenda, personality, interests and goals play a significant part in the process. Therefore, Pitard (2017) emphasises that the position of the researcher needs to be disclosed in how it is relevant to the data. This enables the reader to trust the perspective of the researcher in the qualitative study.

My personal biographical context is provided below in three parts. The first describes my role as a psychology clinician; the second provides my personal positioning in relation to this study; and the third reflects on my ongoing efforts to understand and work within a decolonising and post-colonial context.

As a clinical psychologist I have a special interest in community psychology and neuropsychology. I became aware of the neuropsychological issues of incarcerated populations, when I started attending conferences in the then emerging field of neuropsychological rehabilitation. In particular, Geoff Shepperd (Centre for Mental Health, UK), introduced me to the success of the Timpson academies in UK correctional services (also recently reported by Pandeli & O'Regan, 2020). This facilitated my conception of *real-life projects* as a potential stage for integrating the seemingly different disciplines of criminology and community psychology. As I became part of the correctional system, I was surprised to find a multitude of such potential real-life projects at the two correctional centres where I worked. All of these projects had the potential elements which I imagined, based on my experience in neuropsychology, a meaningful real-life project would need to enable rehabilitation: the practising of executive functions skills, the inclusion of the community, providing pro-social stimulation, continuity after release, sustainability and investments toward employment (see **Appendix 1.1**). Despite the potential of these projects, there was no proper infrastructure to support them. They often either came to a premature end or failed to start. It served as a motivation to prove why such projects can be important and should be valued (and thus resourced) as part of what a correctional centre does. I completed a postgraduate diploma in criminology and realised that although the field of criminological rehabilitation included many disciplines, they often seemed to work aware of, but parallel to each other, with limited theoretical integration. Consequently, I decided to work on developing, implementing an evaluating an integrated neuropsychology, community psychology and criminology model for rehabilitation interventions.

A significant part of this thesis reflects how it was impacted by the ethical issues around the vulnerability of incarcerated people. As this required the development of a clearer transformative approach – I also share more about myself as a person. Demographically I can be categorised as a middle aged, historically advantaged female who had a middle-class upbringing. My paternal ancestors came to South Africa during the onset of the Dutch colonisation (grandfather's side) and then as French Huguenots (grandmother's side). My father is therefore an 'Afrikaner'. He is part of the first generation of his family (and community) to obtain a university education. He studied at the University of the Witwatersrand (Wits), an English university. My mother has an English background. Her grandparents came to South Africa from Ireland, Wales and England. As the eldest daughter,

my mother could not further her education and started working at the age of 16. Her daughters' further education was important to her. She was a strong motivator, assisted me with the data entry, and thus also owned a bit of this work.

My conscientising of being part of an oppressor heritage, which positioned oppressed communities as 'the other', commenced with the onset of my university studies. I was exposed to critical political thinking and post-modernism in pre-graduate training. This was further recognised by the field of community psychology which we were introduced to in our honour's year. Consequently, I was drawn to the University of Zululand, to do my Masters in Clinical psychology under the guidance of Prof. S. D. Edwards and Prof M.M. Hlongwane. I did my research in a community project focussing on sense of community and community development. I left a post at the University of Zululand for work and study opportunities in the UK in 1996 and unexpectedly remained there for 14 years. Upon my 40th birthday I returned to South Africa with the hope to find work in Correctional Services in order to do the research described in this thesis.

The political changes in South Africa have assisted to re-define the academic landscape. With my return I was confronted with the concepts of de-colonisation and the post-colonial context. The process of reporting research with self-awareness forced the processing of my discomfort with this confrontation. Whilst doing the study I learned more about Ubuntu. This helped me to recognise my internalised modernist thinking which dichotomised and polarised these concepts, drawing lines and boundaries, the separations that made me uncomfortable. As a co-participant in Ubuntu training, I became more conscious about the essence of conversation, of self-reflection and awareness. I came to understand that this inherently starts from a place of inclusion, unity, harmony – not to dilute, but in order to improve. In itself, this idea is not so foreign to classical psychology – some aspects of it were captured by existential psychology as unconditional positive regard, facilitating growth in both client and therapist. However, Ubuntu is more than a therapeutic approach, it is a lifestyle, a way of being in the world, a way of being a community, of being who you are. This makes Ubuntu harder to define and conceptualise. It also makes it simpler, pre-conceptual, intuitive. As the study allowed me to become a fellow-student in Ubuntu ethics, I started experiencing the immediacy of this form of knowledge in my trying to deal with the everyday ethical dilemmas of my workplace.

This is not a thesis about Ubuntu – it is the story of a researcher’s attempt to be mindful of acknowledging a participatory action research (PAR) process – attempting to understand and work with decolonising; looking out for the impact of a classical background in the post-modernistic generation of knowledge; an attempt to utilise my awareness of my different background, to not be an obstacle, but rather one of the contributing players in the Ubuntu Group. I am privileged and thankful to have had Fikile Mnisi as a co-facilitator, Ubuntu trainer and role-model in this process. Her example as ‘betweenener’ (see section 4.2.1.a) provided access to the dialogue which Diversi and Moreira have with each other (Diversi & Moreira, 2009) in where they describe and own this position: “We are all betweeneners in some aspects of our identity. I think betweenness is a rare space where all humans can find communality” (p. 25). The constructive notion of moving possibilities and the compassion that it can evoke was empowering to start writing the thesis. Braam Hoffmann became my life partner as I was preparing the proposal. He is a research ethicist and in his gentle critical way, has been an inherent part of this process. With the completion of the study, he accepted a research ethics post in the Netherlands and this is where the final analysis and writing had to be done. Diversi and Moreira’s (2009) description of entering a place of in-betweenness gave me permission to start writing being more open to other ways of knowing, to share my not knowing, my own process of trying, and learning through doing things differently. A Bakhtinian understanding has helped me to accept this complexity and its incompleteness.

This is the story of how my attempts to acknowledge the rich processes that were revealing themselves made me aware of the limitations of my classic academic background. This awareness assisted me in finding other ways of communicating difference and Ubuntu. My colonial education has gradually become the point where I have started from and from where I can appreciate the evolved foundations of following generations. I am still learning how to embrace the more nuanced, diverse, complex and inclusive. I hope that my thesis can show this happening.

1.1.3 Problem Statement

Effective criminological rehabilitation should consider the “lifetime of exclusion” experienced by most incarcerated people (Shepherd, 2010, p. 24). This is best addressed through holistic (multi-disciplinary / multi-dimensional) programmes that allow for

exercising and practising the most important capacities needed for effective community functioning. Continuous and sustainable projects are needed to provide the platform for developing such capacities in a manner that can facilitate social inclusion. Research which addresses changing offending behaviour usually focusses on specific disciplinary fields. There is a shortage of rehabilitation projects that are being developed to integrate key principles from criminology, neuropsychology and community psychology.

1.2 Aims and Objectives of the Study

The original aim of this study was to develop, apply and assess an integrated criminology, neuropsychology and community psychology model for rehabilitation, and to make use of PAR as a means of developing such a model in a participatory, bottom-up manner. However, in the course of the study PAR itself emerged as a key element in the proposed model, beyond simply being a means to an end.

The aim of the study therefore expanded to include elucidating how PAR can function as part of a sustainable 'real life' project in collaboration with the community to:

- a) address social inclusion,
- b) stimulate executive skills and
- c) develop ethical reasoning.

The specific objectives are to:

- 1) Develop a rehabilitation model for corrections that –
 - incorporates key principles of criminology, community psychology, and neuropsychology.
 - makes use of insights gleaned from inmates and other stakeholders in a participatory manner.
 - relies on PAR as a central element in the rehabilitative process.
 - is practically feasible in a correctional setting.
 - can be tested and refined based on empirical findings.
- 2) Document and interpret the model-building project as it unfolds.

- 3) Trace how the project could in itself function as an example of the model being developed.
- 4) Record and interpret evidence pointing to the success or failure of interventions based on the model in bringing about rehabilitation.

1.3 Explanation of terms

Crime, Rehabilitation and Desistance

These concepts are resistant to simple definition as they emerge from and feed into particular, historically determined, political and social worldviews and values. For purposes of starting the discussion, the following working definitions are offered. Crime (used interchangeably with 'offending behaviour') refers to convictional actions which are harmful to others. Rehabilitation refers to enabling pro-social behaviour which is beneficial to both the individual and their current society as well as their future society. Desistance is the phenomenon of a person who had previously been convicted of a crime, avoiding crime and behaviours that could lead to crime.

Correctional Service Terminology

Cell Monitors (CMs): People who are democratically elected by a residential cell (dormitory with bunkbeds, shower and toilet) in a correctional centre to represent the cell and to organise and manage the running of the cell. CMs are generally referred to as 'cell cleaners' by DCS staff. Although not an officially recognised appointment, the day-to-day successful running of a correctional centre depends on this system of leadership and administration.

Correctional Centre: A place of incarceration, detention and confinement of individuals liable to detention in custody (*Correctional Services Act 111 of 1998*). Much of the international literature on incarceration refers to 'prisons' rather than 'correctional centres', but in deference to the South African legal and institutional climate, which emphasises a rehabilitative agenda, the term *correctional centre* is used in this thesis. A correctional centre is usually managed by a Head of Centre.

Correctional Supervision and Parole Board (CSPB): This body considers correctional supervision, day parole, parole and medical parole by reviewing judicial and DCS reports, and

by interviewing the concerned individual and relevant members of the community. In the case of parole, the CSPB sets the parole conditions for the individual to be released (Parliamentary Monitoring Group, 2015).

Incarcerated offenders versus inmates: It is DCS policy to refer to people who are incarcerated as offenders (as opposed to prisoners). In discussion with participants in the study the overwhelming consensus was that they preferred the term *inmates*. Where possible, the latter is used.

Lifer/s: A general term for people who have received a life sentence (usually 25 years and more). At the time of this study the combination of a number of separate court cases had ruled that lifers sentenced between specific dates could be considered for being released on parole after serving a period of about 12 and a half years. Given their significant time in incarceration, lifers are generally seen as a stable and low risk group. They often have a high status in the centre with leadership roles within the educational, religious and sport infrastructure.

Management Area: An officially designated area which consists of one or more correctional centres, with offices that are under the control of a correctional official designated as an Area Manager (*Correctional Services Act 111 of 1998*).

National Council for Correctional Services (NCCS): Advisors to the Minister of Justice and Correctional Services on policy matters relating to the correctional system and the sentencing process. The NCCS is particularly involved in providing suggestions about the management of individuals with life sentences.

Official/s: Although DCS officials have responsibility for both security and rehabilitation (United Nations, 2015), staff can generally be organised into three groups: management (officials with higher rank), security staff, and staff with professional responsibilities (nursing, social work, education and psychology). Most officials are appointed to a specific section of a correctional centre. Officials are also referred to as *members*, or (more informally) as *cops*, *police* or *wardens*.

Remand detainees: People who are detained in a correctional centre while they are awaiting trial because they have been refused or cannot afford bail. In South Africa approximately

one in three incarcerated persons is a remand detainee. Two important issues that affect remand detainees are that individuals are sometimes detained for very long periods before their trial commences and that remand detainees have typically been excluded from rehabilitation programmes (Ballard, 2011; Gordin & Cloete, 2011).

Units: Each correctional centre is divided into smaller defined units (Parliamentary Monitoring Group, 2001). These units are run by a unit manager and have a set group of staff allocated to them. Units may differ significantly from each other in terms of size, physical composition and purpose. Each unit therefore has its own character and culture. People may interchangeably refer to *units* or *sections*.

Unit Manager (UM): A UM is responsible for the management of their designated unit. This includes to plan and administer financial allocations, to produce the unit's personnel roster, to oversee case management and to supervise staff and prisoners (Parliamentary Monitoring Group, 2001). Inmates often refer to UMs as *captains*.

Neuropsychological Terms

Acquired Brain Injury (ABI): ABI is a loose umbrella term for a wide range of brain injuries that include both traumatic (e.g., motor vehicle accidents, assaults) and non-traumatic causes (cerebrovascular events; infectious disorders) (Teasell et al., 2007).

Cognitive functions: Mental processes involving attention, concentration, perception, vision, language, memory, executive functions and new learning. It involves "how the brain perceives, processes, and uses information from the environment, without the influence of beliefs or attitudes" (Ross & Hoaken, 2017, p. 660).

Conscious and Unconscious functions: Conscious functions refer to the relatively recently evolved integration of brain networks that enable mental states. Conversely, unconscious functions involve the older brain networks which work automatically, outside awareness and is involved in all that the brain does. Although conscious functions are mostly reactive to unconscious functions, there are also significant reciprocal influence and simultaneous activity between them. Neuro-rehabilitation will often refer to conscious functions as top-down neural processes (integrated, processed) and unconscious functions as bottom-up processes (registration of stimuli which lead to perception). Because conscious functions

involve awareness, purpose and intentionality, they can function independently from experience through the act of will (e. g. being creative) – but this then also limits the capacity of conscious functions. Unconscious functions are dependent on experience and hereby becomes more automatic - enabling more capacity. Unconscious functions integrate all of what is inherited and has been learned to realise responsive and adaptive conscious functioning (Askenasy & Lehmann, 2013; Ledoux, 2002; Searle, 2004).

Executive functioning: This is a specialised aspect of cognitive functioning which integrates, and synchronises the different cognitive functions and manages the administration and flexibility of thinking (Wykes et al., 1999). Executive functions are usually associated with the five specific networks of the brain's frontal system which have been correlated with specific behaviours: the ability to initiate and maintain a response; the ability to inhibit responses (response selection); the ability to set goals, plan and sequence (executive cognitions); meta-tasking (organisation, meta-cognition & abstract thinking); and social cognition (emotional communication and self-awareness) (Azzara, 2005; Cummings, 1993; Frith, 1992; Suchy, 2017). Due to the plasticity of executive functions, it is responsive to rehabilitation interventions (Wykes et al., 1999).

Neuroplasticity: An inherent brain process in which neuro-cells' structure, connections and relationships with other neurons are changed by developmental processes, experience and learning (Askenasy & Lehmann, 2013; Cozolino, 2013).

Other Terms Used in This Study

Automatic: This refers to a process "working by itself with little or no direct human control"; "done or occurring spontaneously, without conscious thought or attention" (Lexico, 2020). In this thesis the concept is used to refer to both neurological processes that occur unconsciously and behavioral processes that occur spontaneously.

Ethics: Ethics and morals are used interchangeably in literature and no universal distinction between the terms exist (Miller et al., 2014; Neves, 2016). This thesis will however refer to ethics rather than morals, based on the understanding that ethics refers to the reason (*the why*) for right conduct and good human actions. It assumes an objective focus on ethics' universality (e.g., human rights, dignity, diversity). It sees ethics as being practical (Mnisi, 2017). Because morals are usually culturally determined and thus relativistic, morals are

understood to determine the manner (*the how*) in which the practice / conduct of ethics may be played out according to a subjective customary, socio-culturally determined rules (Neves, 2016).

'KEY': Table 4.1 provides a summarising overview of the study to serve as a reference map. Reference to KEY in the text allows the reader to place an event according to the table's timeline in terms of the month and session e.g., KEY: Table 4.1 month 5/17. Events that played a central role in the reporting of the findings are further marked with  and explained in Table 4.1.1.

Real-life projects: The term *real life* is derived from the neurorehabilitation literature which demonstrates the effectiveness of skills acquired in every-day contexts that have personal meaning for individuals. Holistic and integrative approaches provide functional interventions involving real-life activities, real-world locations and real stress management (Ehlhardt et al., 2008; Marcantuono & Prigatano, 2008; Prigatano, 2013; Ross & Hoaken, 2010; Ylvisaker & Feeney, 1998). This study deliberately interpreted real-life projects as also involving the community. In these terms real-life projects have a past, a present and a future. Such projects can be initiated either by inmates or by the community. The participants own and shape the history and future of the project. It has an aim and goals that belong to those who take part. These are developed and achieved by practising skills that are important to be effective in society.

'Seeding point': Most events in a real-life project can open up a variety of possibilities (as is best demonstrated by a *mind-map*). In Chapter 4, broken-line text boxes are used at the end of the relevant section to indicate such potential directions. They merely serve to acknowledge the organic nature of a real-life project. When a real-life project leads to a number of parallel but related activities, these are referred to as *spokes*.

'Snapshot': In Chapter 4 the PAR process and methodologies are illustrated by visual examples that are embedded in the text. These are framed and titled and differentiated from tables and figures. For the latter the usual APA style (7th edition) is used.

Ubuntu Ethics: Ubuntu involves both an ethical framework as well as moral values that are interlinked with African culture (see section 4.1.2).

1.4 Significance of the Study

1.4.1 Contribution to the Department of Correctional services

Corrections is a societal responsibility.
The White Paper on Corrections in South Africa (2005)

The study is relevant to the stated mission, core business and responsibility of the Department of Correctional services as set out in the White Paper on Corrections in South Africa (Department of Correctional Services, 2005). Its value is positioned in how it attempted to put a significant number of the stated aims of the Department into practice, provided a setting to exercise and develop their implementation and explored how they were experienced and could be improved upon:

- 1) *Providing a holistic approach to enhancing rehabilitation:* Rehabilitation was the main focus of the study, incorporating community psychological, criminology and neuropsychological principles.
- 2) *Developing needs-based rehabilitation programmes:* The study addressed the extended rehabilitation literature indicating the neuropsychological needs of the offender population group.
- 3) *Bringing about active participation in democratic activities:* This was realised by both the methodology and the intervention which was being investigated.
- 4) *Involving offenders' participation in rehabilitation efforts:* This was enabled by PAR.
- 5) *Empowering offenders:* This was specifically addressed by exploring the aspects which contributed to making the participatory action process inherently empowering.
- 6) *Creating a platform of dialogue with the community and facilitating a healing process:* Exemplary volunteers from the community were invited to collaborate with incarcerated people in order to reach the goals of the study in the most ethical way.
- 7) *Creating opportunities for the establishment and maintenance of collaborative partnerships and networking relationships between DCS and the community:* As above.

The study responded to Muntingh's (2005) critical review of the White Paper. It developed a rehabilitation intervention informed by principles that have been demonstrated to work in international studies, i. e., targeting predictors of crime and recidivism, being behavioural in nature, providing an intensive medium- to long-term programme, targeting criminogenic needs, matching treatment and learning styles, including skills applicable in the job market, and addressing community integration.

1.4.2 Contribution to Research Methodology for Correctional Centres

Business as usual will not lead to effective use of research to address wicked problems, problems for which time for solutions is running out. ... How will the preparation of researchers be changed to accommodate to this need to have a fuller understanding that is interdisciplinary and transdisciplinary? The future of the world depends on how we respond to these questions.

Mertens (2015a, p. 4)

Wicked problems are inherently urgent to be addressed, but they are complex and do not have a single answer. The responsibility for their causes and solutions are tied into many interacting communities and systems. In response to such problems, conflicting value systems, inadequate knowledge, and social reservations come into play (Mertens, 2015a).

Bannister (2014) identifies crime as one such wicked problem. It is difficult to define and confronts us with multi-faceted and multi-dimensional causes and solutions -He highlights that there is no correct solution to crime apart from civic responsibility. This study answers such a call by demonstrating how PAR can be used to develop and assess an interdisciplinary model for rehabilitation interventions. It explores PAR as an intervention which is able to work with the necessary complexity that is required within the context of real-life projects involving both society (outmates) and those outside of society (inmates). Kelly and Van der Riet (2001) express the need for more literature about "how participatory relationships are formed and sustained between parties who are so grossly different in terms of skills, resources, education, political power, and the sense that their own individual efforts can make a difference (p. 164)." This is addressed by this study's attempt to investigate the nature and impact of the collaborative work between the community and incarcerated persons in terms of their reported experiences and changes.

1.4.3 Contribution to the Rehabilitation of Society

We are neural men and woman; everything we do, think and feel is a function of the architecture of our brains, even though this fact may not yet be quite integrated into our general world-views or self-conceptions.
Evans (2020, p. 786)

Evens (2020) refers to science as being “normatively relevant” – understanding our brains and how and why we function as we do, can inspire us to make informed changes to “our world-views, self-conceptions and existential or ideological attitudes” (p. 11). This study attempts to integrate different disciplines for the development of an effective rehabilitation intervention model. A neuropsychological understanding provides the conceptual link to enable this. It reveals what to rehabilitate and how to do so. Furthermore, it questioning our notion to incarcerate. Hereby, it also provides an ethical confrontation to transform and rehabilitate ‘us’.

1.5 Overview

This thesis consists of six chapters:

Chapter 1 *Introduction* explains the background of the study and maps the rest of the thesis.

Chapter 2 *Literature Review* positions the study in the related literature of the three fields of neuropsychology, community psychology and criminology to provide an initial framework for the rehabilitation model. An integration between the diverse fields are achieved by identifying the areas of overlap between each. This is reflected by a diagrammatic presentation of the Literature Review (see Figure 2.1) which informs the study’s initial interventions.

Chapter 3 *Philosophical Positioning* describes and discusses the transformative paradigm which informs the study’s responsive methodology.

Chapter 4 *Methodological Journey* aims to provide a rich description of the five phases in which the responsive methodology unfolded. It tries to acknowledge the messy reality of the methodology, its unpredictable journey of trying ideas and circular progressing which is not always logical (Clarke & Braun, 201; Zuber-Skerrit & Fletcher, 2007). This is managed by giving regular references to where in the text events are revisited to be further fleshed out

and unpacked across several chapters. **Tables 4.1 and 4.1.1** serve as key reference to assist the reader to anchor the important events in this iterative process according to when they occurred on the study's timeline.

Chapter 5 *Landscape of Results* utilises the concept of Bakhtinian dialogism to allow different angles, levels and voices to appear together from which meaning can be crystallised. It presents the findings in terms of five landscapes: 1) products from the real-life project; 2) capturing the PAR processes; 3) revealing the automatic demonstration of ethics as an outcome 4) reporting quantitative assessment results; and 5) concluding with reflecting the themes that mattered to the participants whilst engaged in this study.

Chapter 6 *A Crystallised Model for Rehabilitation Interventions* presents a neuropsychological interpretation which links the landscapes. This interpretation operates as the platform from which the integrated model for rehabilitation interventions crystallises. The different components of the model are first presented, and then discussed in terms of literature evidence, how it was revealed in the study and with recommendations for future studies and real-life projects. The initial aims and objectives and general impressions of the study are then re-considered in terms of participation in Bakhtinian Dialogism. Thus, the thesis concludes with *sketches from outside* of participants who have been released.

CHAPTER 2

LITERATURE REVIEW

*The circle of knowledge has but two moments, in permanent relationship with each other:
the moment of the cognition of existing, already-produced, knowledge,
and the moment of our own production of new knowledge.*
Freire (2009, p. 169)

My journey towards a new model for rehabilitation started, in part, from a broad overview of three disciplinary fields: criminology, neuropsychology and community psychology. In this chapter I first discuss and summarise some of the important themes and principles from each of these fields. In order to integrate these fields I then home in on the overlapping areas between them. The chapter concludes with suggestions regarding how Participatory Action Research (PAR), in the form a real-life project, has the potential to unify the main principles of these disciplines. The purpose of this chapter is to inform the process of developing the integrated model as is described in Chapter 4. The outcomes and effectiveness of the model's application are outlined in Chapter 5.

2.1 Rehabilitation in Criminology

*Let us leave, for the present, the thought of inflicting punishment upon prisoners to satisfy the social justice, and turn toward two grand divisions of our subject, the real objects of the system, vis.:
the protection of society by the prevention of crime and reformation of criminals.*
Brockway (1871, as cited in Gendreau, Smith, & French, 2006, p. 420)

Criminology and the definition of crime and criminality, reflects the interacting historical, economical, political and cultural factors which influence how a society is understood (Burke, 2019). Criminological efforts to reduce re-offending are thus the product of not only 'scientific' concerns, but also of ever-changing socio-political agendas, and therefore complex and multi-dimensional (MacKenzie, 2006). Since colonial times, criminology in South Africa has mostly been influenced by the transference of the international crime control policies which I use to frame this section with (Bosworth & Hoyle,

2011). In recent times, two rehabilitation approaches have gradually emerged that can be broadly referred to as the *what works* and the *desistance* approaches.

2.1.1 'What Works?'

The field of criminology finds its beginnings in the motivation to address the Middle Ages' indiscriminate practices of torture with a more just moral authority (Bowling & Ross, 2006; Lynch, 2014). It was in part further developed by the humane impulses to reform the system of often cruel and arbitrary mass incarceration that was a by-product of the industrial revolution (Sherman, 2011). For nearly a century, criminologists argued that rather than punitive punishment, rehabilitation should be seen as the primary purpose of incarceration (Garland, 2001; Travis et al., 2014). However, this changed in the mid-1970s when Martison's (1974) empirical review of rehabilitation interventions concluded that the poor quality of existing research made it impossible to determine outcomes (Farabee, 2005). Unfortunately, the socio-political climate of the time (when both crime and hard-line attitudes towards combating it were peaking in the US and elsewhere) influenced the interpretation of his statement to mean that *nothing works*, leading to incarceration dissolving rehabilitation (McGuire, 1995). The *what works* (WW) movement campaigned against this pessimistic dominant ideology, utilising empirical measures to investigate treatment approaches for the reduction of re-offending (MacKenzie, 2006). Thanks to the meta-analyses that started appearing in the 1990s, these findings eventually started having a gradual impact on policy and interventions (Lösel, 2012). However, the political call for *evidence-based practice* overwhelmed indications that *something works* by target driven, top-down administered, 'one-size fits all' manuals, based on premature research findings, that were 'done to' persons (Cowe et al., 2010). Subsequently, Porporino (2010, p. 61) warns that "blind empiricism" shouldn't miss *why* and *how* interventions work. WW research have revealed the complexity which has to be taken into account and provided evidence that specific programmes, with specific components, focusing on specific issues, could decrease re-offending rates (Brayford et al., 2010). The WW movement has also been criticised for the use of re-offending rates as an indicator to determine the effectiveness of rehabilitation

programmes, which in turn tends to oversimplify the various dimensions that are involved (Farrall, 2002; Merrington & Stanley, 2000).

Apart from exploring what works, WW research has also answered *what does not work?* A significant body of scientific evidence demonstrates that amongst others the punitive measures of criminal justice and incarceration does not work and even increases re-offending (Farabee, 2005; Farrall, 2002; MacKenzie, 2006; McGuire & Priestly, 1995). For a minority of inmates, incarceration is temporarily better than their truly destructive, dismal, devastating and degrading contexts outside prison (Crewe & Levins, 2020), but for most inmates this is not the case. McGuire and Priestley concluded that "(t)he notion that punishment can reduce the rate of crime in society is little more than an irrational and unfounded hope" (1995, p. 14). Despite the overwhelming evidence that incarceration does not 'prevent crime and reform criminals', it is still society's main response to offending (Ward & Maruna, 2007). Farabee (2005) explains that criminal justice policies are shaped by public opinion rather than scientific evidence. This could trigger us to then ask how the public can be involved in understanding and addressing the complex issues involved in crime and its reduction.

2.1.2 Desistance

Changing research methodologies which enabled detailed enquiry about the characteristics of interventions themselves, rather than just their outcomes, allowed the desistance movement to come to the fore (Farrall, 2002). In contrast to WW, desistance approaches focus on the process of *how*, *when* and *why* persons change (Bottoms, 2014). Perhaps the most striking finding to emerge from desistance research is that, even in cases of persistent offending, the decline in criminal behaviour happens naturally, automatic and is nearly inevitable (Gottfredson & Hirschi, 1990; Maruna, 2001; Sampson & Laub, 2003). Longitudinal studies have uncovered the desistance process's gradual development involving individual agency, civic participation and social and personal factors such as employment, pro-social long-term relationships and disengagement from previous environments (Farrall, 2002; Maguire & Raynor, 2006; Maruna, 2001). By highlighting the inexorable process of desistance as offenders mature and age, and their life circumstances change, the desistance

literature has been able to re-define success, viewing persons as ends in themselves in need of social justice and social inclusion (Farabee, 2005). It is therefore argued that research studies should abandon the search for 'silver bullets' that will bring about desistance, but rather address the cost of the 'natural' desistance processes (to both the individual and society) and explore interventions which could assist, accelerate and simplify it. It would therefore be most useful to find answers regarding *what helps* this process (Bottoms, 1990, 2014).

2.1.3 'What Helps?'

Given the ongoing nature of the cost of crime and incarceration for both society and individuals, effective rehabilitation methods are required (Ross & Hoaken, 2010). The following aspects that have been identified to be associated with positive outcomes are of particular relevance to this study:

- Multi-model interventions (Lösel, 2012; MacKenzie, 2006).
- Involvement of broader social and socio-economic elements (Chapman, 1995; Cowe et al., 2010; Ross & Hoaken, 2010; Weaver & McNeill, 2010).
- Community-based approaches and dealing with community issues (Farrall, 2002; Knott, 1995; Lösel, 2012; McGuire & Priestley, 1995).
- Programme integrity (McGuire & Priestley, 1995).
- Active and participatory programmes (Dünkel & van Zyl Smit, 2001).
- Cognitive behavioural therapy and programmes with a cognitive component (McGuire & Priestley, 1995; Tong & Farrington, 2007)
- Addressing criminogenic needs and moral reasoning (Dünkel & van Zyl Smit, 2001; MacKenzie, 2006; McGuire & Priestley, 1995).
- Providing relevant education, transferrable vocational skills and employment schemes (MacKenzie, 2006).

Other important elements that have also been demonstrated are:

- Specific staff characteristics and the quality of the officer-inmate relationship which impact not only on an individual basis, but which also increase the effectivity of

other interventions (Cowe et al., 2010; Downden & Andrews, 2004; Farrall, 2002; Weaver & McNeill, 2010);

- Motivational interviewing (Porporino, 2010);
- Assisting parents of persons who have offended with multi-systemic therapy (MacKenzie, 2006).

One size fits all interventions have been criticised for not being appropriate for many individuals and for being implemented at the detriment of local, culturally informed and individualistic approaches (Merrington & Stanley, 2000). Arguments are being made for research to become more specific about *what helps for whom?* (Vanstone, 2010) e.g., cognitive behavioural therapy (CBT) helps for general violence and substance abuse whereas hospital-based treatment helps for sex offending (MacKenzie, 2006). Ideally rehabilitation interventions would thus be able to translate the principles of evidence-based practices in ways that are both accessible to the people who have to use them, as well as flexible to respond to general, variable and specific needs.

2.2 Neuropsychological Rehabilitation

*That the self is synaptic can be a curse – it doesn't take much to break it apart.
But it is also a blessing, as there are always new connections waiting to be made. You are your synapses.
They are who you are.
LeDoux (2002, p. 1971)*

The brain is involved in every aspect of our humanity, everything we do. A century worth of neuropsychological rehabilitation studies, and the significant contributions of technological advances in the last decade, has empowered us to understand and utilise brain-behaviour relationships to influence positive change in nearly all aspects of everyday life (Benton & Sivan, 2007; Varako, 2014).

2.2.1 Evidence Based Practice: Neuropsychological Rehabilitation Principles

Neuropsychological rehabilitation in acquired brain injury (ABI) and schizophrenia has provided evidence of how the brain's plasticity can be best utilised to facilitate new learning. The following strategies have been demonstrated to assist this process significantly:

- Individualised approaches, utilising personal abilities and strengths to focus interventions on addressing personally relevant goals (Barnes, 2003; Playford et al., 2009; Turner-Stokes et al., 2009; Ylvisaker & Feeney, 1998);
- Task specific errorless learning, that are scaffolded by external cues, intense practise, cognitive overlearning and positive reinforcement (Alderman & Ward, 1991; Cicerone & Giacino, 1992; Meimoun et al., 2015; Rees & Skidmore, 2008; Shvarts & Bakker, 2019; Wilson et al., 1994; Wilson et al., 2003; Wilson & Fish, 2018; Wykes & Reeder, 2005);
- Bilateral cooperation, inclusion and motivation of the individual, staff, family, support-group and community, to assist generalising to everyday use (Prigatano, 2013; Varako, 2014; Wilson & Betteridge, 2019; Ylvisaker & Feeny, 1998).

Positive outcomes are enhanced by addressing and improving **executive functions**. It can be done, in part by technological supports that provide more self-advocacy in compensatory strategy use, for instance smart phones and self-recorded video messages (Evald, 2018; O'Neill et al., 2010). The executive functions' inherent plasticity can also be utilised through behavioural and information processing skill learning (Dams-O'Connor & Gordon, 2013; Hanks et al., 1999; Hart & Jacobs, 1993; Pressley, 1993; Wykes et al., 1999). This involves increasing realistic intellectual and anticipatory awareness about individual strengths and weaknesses to inform goal setting, planning and organising. It includes skills in estimating resources and time required for tasks, reviewing the accuracy of estimations and long-term planning. Attention is given to initiating actions towards achieving goals and inhibiting the behaviours that might interfere. People practise ongoing self-monitoring and evaluation of processes; flexibility to shift plans, problem-solving and strategic thinking (Dayus & van den Broek, 2000; Levine et al., 2000; Rath et al., 2003; Rignon et al., 2017; Von Cramon & Matthes-von Cramon, 1992; Von Cramon et al., 1991; Ylvisaker & Feeney, 1996).

Different approaches have developed to integrate these strategies, for example the Goal-Plan-Do-Review structure which is used by the Positive Everyday Routines (Ylvisaker & Feeney, 1996). In the field of psychiatry *Cognitive Remediation Therapy* (CRT) (Wykes &

Reeder, 2005) focusses on remediating the micro skills involved in executive functioning that predict functional outcome and remain relatively stable: attention, working memory and specific executive functions (e.g., planning, initiating, shifting, inhibiting). This involves practising which is not only done for its own sake. It also utilises metacognition to *become aware of one's own regulation* and the selection and implementation of the skills, linking them to personal goals and more ecological activities. The core elements of CRT are a learning environment, a therapeutic relationship, engagement, goal setting and intense practicing (typically 3 times a week) for several months (Wykes et al., 1999).

Ross and Hoaken (2010) argue for the use of such neuropsychological evidence-based practices to inform correctional rehabilitation. In this way more effective "*real-world functioning*" can be made possible, and the ability to benefit from existing resources can be enhanced (p. 664).

2.2.2 Neuropsychology of Vulnerability

Studies of prison populations provide substantial evidence that neuropsychological factors can play a significant role in the cause, consequence and exacerbation of factors leading to social exclusion. Compared to non-offending control groups, offending groups have a higher incidence of the following characteristics:

- speech, language and communication difficulties (Royal College of Speech and Language Therapists (RCSLT) 2009; RCSLT 2012));
- attention deficit and hyperactivity disorder (Ginsberg et al., 2010; Schilling et al., 2011);
- Traumatic Brain Injury (TBI) (Leon-Carrion & Ramos, 2003; Morrell et al., 1998; Schofield et al., 2006; Slaughter et al., 2003; Williams, Mewse et al., 2010);
- executive dysfunction (Meijers et al., 2017; Mullin & Simpson, 2007; Ross & Hoaken, 2010; Wenner et al., 2013).

Neuropsychological factors, and executive functioning in particular, have been demonstrated to be directly related to some of the causes of crime such as aggression (Brower & Price, 2001; Morgan & Lilienfeld, 2000), disinhibition (Cauffman et al., 2005; Fishbein et al.,

2009), poor judgement (Moffit, 1997), poor problem-solving (Antonowicz & Ross, 2005), negative interpersonal relationships (Pronk & Righetti, 2015), anti-social behaviour (Ogilvie et al., 2011), personality disorder and secondary psychopathy (Ross et al., 2007).

A British study (Pitman et al., 2015) demonstrated that the self-report of ABI amongst incarcerated persons can be associated with performance on standardised neuropsychological tests, warranting initial screening to inform more effective management. The group was also younger at first offence and more likely to commit a violent offence than controls, confirming ABI as a risk factor for offending. Close to a third of the participants only reported “mild” injuries that went undetected. It is likely that this caused their cognitive and behavioural changes to be misattributed as characteristics of the peer group. This demonstrates how social factors both increase the likelihood for ABI and limit the receiving of adequate treatment. The authors conclude that “it is of little surprise that TBI is a largely unrecognised and hidden disability within the criminal justice system” (p. 773).

The unique South African context is associated with a high incidence of ABI in the community and among children (Levin, 2004; Naidoo, 2013). ABI prevalence studies of young persons who offend found the rates to be similar to international studies and higher than the control groups they were compared to. Similar to the Pitman study, most of the injuries were also of a mild nature (Badul, 2012; Erasmus, 2012).

Ginsberg et al. (2010) states that the significant presence of neuropsychological difficulties among incarcerated persons need to be considered in the development of rehabilitation programmes. It points to the importance of including information about ABI alongside the demographic variables of correctional studies. It also suggests the importance of neuropsychological education in rehabilitation programmes. As particularly executive functions are associated with good rehabilitation outcomes, positive relationships and long-term well-being (Pronk & Righetti, 2015) interventions should consider monitoring the development of executive functions.

2.2.3 Neuropsychological Interventions in Corrections

Neuropsychological factors have a direct impact on the effectiveness of correctional rehabilitation interventions. This highlights the benefit of individual neuropsychological

assessment in addressing specific needs (Fishbein et al., 2009; Ross & Hoaken, 2010). The nature of executive functioning is particularly important for prognosis and in determining early dropout from corrections interventions (Cornet et al., 2015; Mullin & Simpson, 2007). Most correctional studies use cognitive skills training programmes which do not show significant impact on neurocognitive functions. Apart from the methodological issues that are involved with programme intensity, role-playing classroom formats, and the nature of assessments, it is argued that the impoverished prison environment itself may counteract these efforts (Cornet et al., 2016). Cornet et al.'s work would suggest that rehabilitative interventions should not only address neuropsychological functions but also explore ways of enriching the impoverished prison environment, of being more ecologically valid (as opposed to class-room based) and of providing sufficient intensity and continuity to enable change.

2.3 Community Psychology

(T)he development of the local community cannot occur except in the total context of which it is a part, in interaction with other parts.
Freire (1996, p. 123)

Although community psychology is understood as a relatively young discipline, its roots and principles can be traced back to ancient times. Its long, uneven development in different countries is as diverse and varied as countries' histories, political ideologies, regimes and social and economic changes are different. However, it is widely agreed that, given the translation difficulties with the term "*community*" the concept "*community psychology*" was formalised in 1965 by academic activists at a conference in Swampscott in the USA (Reich et al., 2007). By 1975 it was established as a psychological discipline, initially focussing on making psychology's concern for individual and group welfare accessible to where individuals function most of the time, in communities. Five models of community psychology developed: mental health, social action, organisational, ecological and the phenomenological model which underlies the other four (Bhana & Kanjee, 2001; Edwards, 1997; Shinn, 1987).

Community psychology has been of particular relevance to South Africa where the principles of community psychology and interrelatedness form part of the family and societal structures of African traditions. The conceptualisation of the importance of community is a cultural resource and captured in the understanding of *Ubuntu* which is further described in Chapter 4. Because of the historical struggle for communal democratisation, community psychology in South Africa continues to develop addressing the impact of racial oppression, the healing of communities, identity and community development (Bhana et al., 2007; Reich et al., 2007; Seedat & Lazarus, 2011). A South African project has formalised principles and practical guidelines for researchers, communities and institutions by letting communities define how they wish to be approached, what they value and how they can benefit from research (Tapela et al., 2009). The generalisability of this work not only demonstrates the pragmatic community orientation in South Africa, but also the contributions the South African context can provide to the discipline of community psychology.

2.3.1 The Ecological Interface

Community psychology focuses on the complex interface between individuals and society. It is perhaps this unique focus, working with societal issues in an individually relevant way, which may at times place the field of community psychology in an ambiguous position between clinical and social psychology as a “minority pursuit” (Burton et al., 2007, p. 22). The aim of community psychology is to assist communities to identify and address their shared concerns. The nature of these concerns is explored and worked with by joint participatory and collaborative actions, both utilising and developing the community’s resources. Issues of health, human resources, education, social interventions, citizen empowerment and cultural values may be included to address both individual and collective needs in value focused ways (Bhana & Kanjee, 2001). By facilitating empowerment, a sense of community and community development, community psychology addresses this interdependence and the multi-level relationships that determine behaviour. Community psychology research aims to enable a psychological sense of agency and a social sense of influence by engaging with communities in reciprocal relationships to create knowledge and change (Kelly, 1990; Rappaport, 1987; Wolff, 1989). As a consequence, it resides in often

conflicting, yet interdependent aspects of human resource development, political activity and science. It facilitates empowerment to enable reciprocal interaction between these aspects, for their mutual benefit and the benefit of the community at large.

The field of community psychology has been criticised for a lack of self-reflection and critical examination. It has often overestimated its use of concepts such as ‘participation’, ‘empowerment’, ‘engagement’ and ‘sense of community’ without a good theoretical base or methodologies with which to study change. Calls have been made for studies that are informed by a community psychology approach, to be more descriptive and analytic and to focus on utilising contextualised longitudinal methods (Christens & Speer, 2006; Heller, 1990).

2.3.2 PAR With Persons who are Incarcerated

PAR has been demonstrated to be effectively applied in corrections-settings, with co-researchers who are incarcerated (Fine et al., 2003; Tangney et al., 2007) and in South Africa with persons who have been released (Lomofsky, 2011).

Fine et al. (2003) have for instance mainly used PAR to explore the impact of higher education in carceral settings. This revealed details of “the pain and abuse built into prison life; the emotions that circulate through prison projects; and the joys and possibilities of democratic research in prison” (p. 255). These findings elicited critical questions and particularly changed the participants ‘coming in from the outside’. Those who remained behind however, experienced minimal change in their context. Echoing the observations of Cornet et al. (2016) cited above, institutional environments are reported to overwhelm the benefits of such projects. Even when projects continue over many years, once they withdraw there appears to be limited long-lasting impact in terms of developing a culture of participation (Fine & Torre, 2006).

In another PAR study the use of decolonising research methodology was demonstrated by involving a cultural community organisation to determine the health needs of incarcerated mothers (Kendall, 2019; Sherwood & Kendall, 2013).

In a recent study, Haverkate et al. (2020) utilised PAR with incarcerated participants by applying a semi-structured interview to gain more knowledge about the experiences of

incarceration. They reflect on how slow this methodology has been adopted in the field of criminology and give a broad outline of its relevance to and benefits for the incarceration context. This includes providing an open voice to persons who are marginalized, empowering individuals to feel they can make changes in an environment which provides little opportunity for developing abilities, resilience and the experience of self-worth.

These studies point to how more just and decolonised spaces should be created where models of rehabilitation can be developed and evaluated. They point out that participatory work should incorporate society in culturally relevant ways that can be mindful of potential sustainability.

2.4 Towards Disciplinary Integration

In this section I identify some overlapping themes across the three disciplinary fields discussed above, and develop a series of core foci informing an integrated rehabilitation model. I start by considering each possible pairwise overlap (and elucidating the nature of the overlap in terms, respectively, of executive functioning, social exclusion and critical theory) and then revisit Participatory Action Research (PAR) as a means of overall integration across the disciplines.

Figure 2.1 provides a diagrammatic representation of the integrative overview attempted in the remaining part of this chapter. The figure demonstrates how PAR is positioned as a ‘real life project’ which has the potential to develop executive functioning, improve social inclusion and assist desistance.

2.4.1 Criminology and Neuropsychology: Executive Functioning

Narvaez and Vaydich (2008) make a direct connection between brain and moral functioning: “There may be a range of moral functioning in normal adolescent and adults just because of the brain structure and functioning that was affected by early experience” (p. 290). Social neuropsychology has been able to link societal criminological factors with neuropsychological experiences to provide a better understanding of our human susceptibility to offending (Collins, 2004; Moffitt, 2003; Suchy, 2017). In this regard Moffitt

(1997) differentiates between adolescent-limited antisocial behaviours and life-course persistent antisocial behaviours. The former group of behaviours is associated with the age-crime-curve, a psychobiological criminology theory informed by longitudinal research studies. The age-crime-curve demonstrates the significant reduction of offending behaviour from early adulthood onwards (Gottfredson & Hirschi, 1990; Sampson & Laub, 1993, 2003). The escalation of offending behaviour during adolescence is attributed to an immature executive functioning system. During the adolescent developmental stage, the executive functioning system has a higher tendency to seek reward, which fuels risk taking on the one hand and, on the other, slower developing capacities for self-regulation and behaviour control (Hoeve & van der Laan, 2016; Johnson et al., 2009). These neuropsychological explanations have warranted critical consideration of adolescents' abilities to act in terms of their understanding of the wrongfulness of an action and what the implications for the South African Child Justice Act may be (Kramers-Olen, 2015).

For the second group, antisocial behaviours continue into adulthood. Life-course persistent antisocial behaviours are attributed to an accumulating progressive interaction between the neural developmental impact on persons' behaviour and the socio-environmental responses maintenance thereof (Hoeve et al., 2013; Maruna & LeBel, 2010).

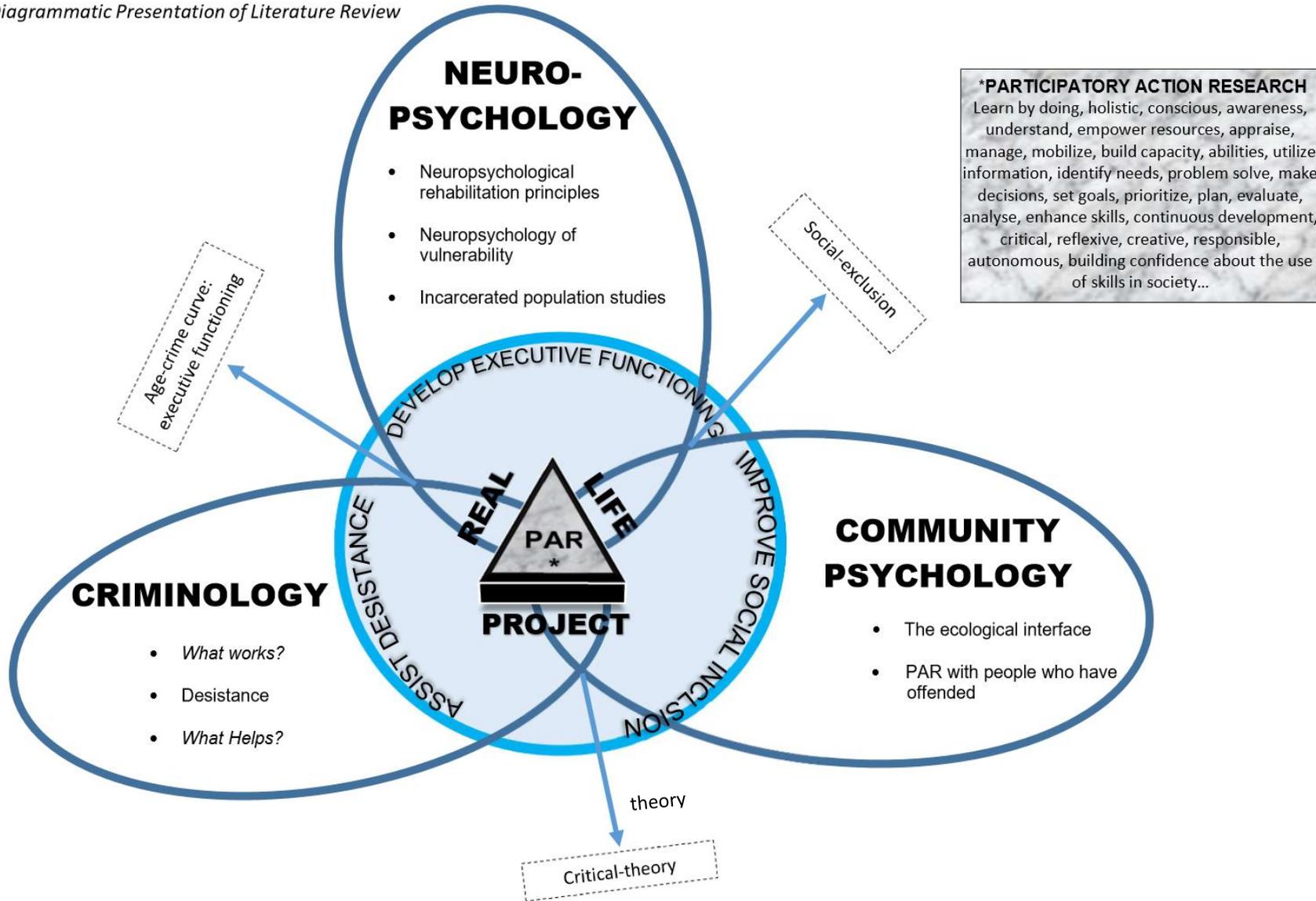
Executive functions, having both an impact on behaviour and being vulnerable to environmental influences, demonstrate the important connection between neuropsychological and criminological factors. While executive functions' plasticity makes the nervous system vulnerable to context, it is this very characteristic which also suggests an important potential for criminological rehabilitation and prevention. Both criminological and neuropsychological research has emphasized the effectivity of interventions which contain positive social interactions that are relevant to persons' real lives.

2.4.2 Neuropsychology and Community Psychology: Social Exclusion

Social contexts such as inequalities in power and economic resources, inadequate social cohesion and disregard for the most vulnerable in a society, have a negative influence on neuropsychological development and neuropsychological functioning and increases criminogenic behaviour (Mabuza & Roelofse, 2013; Muntingh & Gould, 2010).

Figure 2.1

Diagrammatic Presentation of Literature Review



Neuropsychological research has demonstrated that vulnerability of executive functions development and performance are related to societal factors such as poverty, home environment, neighbourhood, culture and education (Brieant et al., 2017; Micalizzi et al., 2019; Okur, 2020; Schutte et al., 2017).

Vygotskian learning theory conceptualises learning as a social process which is socially facilitated (Holzman, 2008; Moll, 1992). Parenting can thus affect brain development, emotional regulation and self-control (Gerhardt, 2004; Narvaez & Vaydich, 2008). Early childhood developmental experiences are associated with executive functions, juvenile delinquency and adult crime (Farrington & Ttofi, 2015; Hoeve & van der Laan, 2016; Sampson & Laub, 2016; Sheperd, 2010). South African correctional studies have also demonstrated that persons who are incarcerated characteristically have significant unmet childhood needs. In these studies, childhood trauma could be linked with re-offending, age of first arrest and recidivism rates (Agboola 2017; Tadi & Louw, 2013).

Raine (2002) states that the biological risk for offending should be understood in terms of the psycho-social context which can either increase or limit the behaviour. This is supported by situational action theorists who argue that self-control is an outcome of the interaction between an individual's executive abilities and their situation (Wikström & Treiber, 2007). A context of exclusion not only harms development, creating the very characteristics that triggers further exclusion, but through the exclusion also maintains and exacerbates these characteristics. Singer et al. (2006) found that "empathic neural responses are modulated by the perceived fairness of others" (p. 466) – where we see unfairness, our brains favour physical punishment. This finding resonates with studies that have shown that social exclusion negatively impacts cognitive processes, executive functioning, self-regulation and pro-social behaviour and can therefore also increase aggression (Baumeister et al., 2002; Baumeister et al., 2005; Baumeister et al., 2007; Twenge et al., 2007).

Shepherd (2010) summarises a large body of descriptive research on incarcerated populations as indicating that most incarcerated individuals had experiences of exclusion from an early age. In this regard, the age-crime curve reflects how a group who, because of their age, are dependent on their environment to meet their needs, are cumulatively excluded by that environment – and eventually ends up incarcerated, the ultimate exclusion.

Through our social interaction we learn and internalise behaviour patterns / templates / scripts / models / maps. As our social context shape and modify our behavioural responses, these 'repertoires' become well practised, more routine and eventually automatic. The internalized repertoires serve as 'tools' which eases our social functioning as they free up the restricted resources of our executive abilities. Having automatic access to them, we do not have to rely on the limited capacity of our conscious executive functioning to have to analyse, plan and organise each one of our actions for every social context and event. People who are excluded from a society, have less access to the range of internalized repertoires which can serve as tools for successful functioning in that particular social context. Subsequently, they have to rely even more on their executive functioning's limited capacity to function in that society (see also Chapter 6 which discusses this in more depth referring to habituation and the difference between novices and experts). Exclusion can be expected to not only have a significant impact on learning the skills that are important for successful social integration, but it also prevents people from having access to the executive and social skills which they need to be successful in that society. By incarceration, we seem to shift blame onto the individual, rather than taking responsibility for society not having cared for and included marginalised people in the first place. The importance of addressing social exclusion is highlighted by community psychology's focus on marginalised groups and the rehabilitation literature in neuropsychology, psychiatry and criminology demonstrating the impact of positive social interventions (Evans & Repper, 2000; Nelson & Prilleltensky, 2010; Stebbins, 2008; World Health Organisation, 2004). By its nature, social inclusion involves society and individuals and therefore can impact and change both.

2.4.3 Community Psychology and Criminology: Critical Theory

Critical theory provides the descriptive and normative bases for social inquiry to focus on societal change, particularly addressing unjust power relationships that inhibit freedom (Bohman, 2005). The critical paradigm highlights how knowledge is not value free but influenced by political ideology, cultural origins and historical positioning (Scotland, 2012). The beginnings of critical criminology can be traced to the social tensions and changes of the sixties and seventies, confronting prevailing political, economic, military, gender and racial standing. With regard to crime, critical criminology rejects the apparent scientific, neutral and non-political solutions provided by society and criticises the mere control of people

(DeKeseredy, 2010). It underscores the impact of social contexts on well-being, including the family, neighbourhood and school environment. This approach interprets the inherent causes of crime as society's impact on individuals in terms of socio-economic inequality and social exclusion (DeKeseredy & Dragiewicz, 2012; Hulsman, 1986). Community psychology and criminology overlap in their critical addressing of the socio-political-environmental context's impact on people's unequal life outcomes (DiLalla & Gottesman, 1989). Community psychology is unique in not only studying phenomena within context, but actually working with the context at the intersection between individuals and society (Isemonger, 1990; Oosthuizen & van der Worm, 1991). Whilst critical criminology has been criticised for its limited demonstration of how theoretical ideas are operationalised, this has become a stronger element of community psychology (Davidson et al., 2006; DeKeseredy, 2010). An example would be how research fatigue in communities has been addressed and prevented (Ashley, 2020; Tapela et al., 2009).

Specifically, the desistance literature has demonstrated the crucial role which the community, positive relationships and civic participation plays in successful integration. It provides evidence that inclusion, rather than incarceration allows constructive desistance (Franke, 2006; Maruna & Immarigeon, 2011).

Both critical criminology and community psychology call for maximizing the participation of people who are marginalised to address social problems and improve society, acknowledging the role of consciousness, communication and culture. The critical paradigm stimulates necessary critical reflection to review the nature and the impact of this participation (Davidson et al., 2006; Michalowski, 2012). In this regard, the importance of reflection to enable change, has not only been echoed in action research, but also neuropsychological CRT (McIntosh, 2010; Wykes & Reeder, 2005). McIntosh (2010, p. 25) refers to reflection as a "method of thinking" – he describes it as a learning tool and cognitive process, which includes both ambiguous and subjective qualities. The normative aspect of critical theory facilitates reflection about the reciprocal influence between the interpretation and practice of values (Bohman, 2005). In the intersection of these disciplines critical theory addresses both societal influences on individuals' positions in society, as well as understanding the individual vulnerabilities and strengths in their roles as agents in that society. By making the normative tensions more conscious, the critical approaches can continue assisting society not to avoid, but to start engaging with these tensions.

2.5 Participatory Action Research as an Integrative Model

Farrall (2002) states that “it is not enough to build on capacities for change where change depends on opportunities to exercise capacities” (p. 40). Thus, if effective criminological rehabilitation interventions facilitate the process of desistance, ideally, interventions should be studied where the factors underlying desistance can be *practised and opportunities developed*. In this regard Farrall (2002) highlights the importance for interventions to incorporate community, social and personal contexts. Similarly, pleas have been made for interventions to not only integrate the WW and desistance approaches, but also to involve more disciplines working together (Tangney et al., 2007). Effective interventions can be developed by understanding and integrating the existing knowledge of rehabilitation in the fields of criminology, neuropsychology and community psychology.

In the field of community psychology, the framework of participatory action research (PAR) has been used to address the overcoming of marginalization and assuming empowered positions (see Chapter 3). Inherent to the process of PAR, on the personal, individual, group and community levels are the principles that are present in both criminological and neuropsychological rehabilitation: Interventions are individualized in terms of development needs, resource identification, capacity building and prioritized goalsetting. In all three fields, successful interventions involve holistic and contextual collaboration and reciprocal interaction. Intervention tasks focus on skill enhancement, learning by doing, continuous development and graded confidence building. Particularly, as with evidence based neuropsychological strategies (see section 2.2.1), the application of executive functioning principles are central in PAR: empowered awareness and critical conscious raising to increase understanding and insight, gathering and utilising information, developing problem-solving strategies and meaningful decision-making power, planning, organised initiation, action implementation, evaluation, analysing, responsibility and autonomous functioning (Esterberg, 2002; Fine et al., 2003; Freire, 2005, 2010, 1982; Kelly & van der Riet, 2001; Macdonald, 2012; McNiff, 2013). PAR provides the real-world context by which community representatives can be included as well as the real-life context which provides opportunities for generalisation beyond the correctional centre walls. PAR provides both a platform for social inclusion as well as the development of executive functioning and desistance in a ‘social-inclusionary’ way, creating a real context in which

new, relevant, and personally significant skills can be learned and practised. PAR includes the executive functioning skills of goal setting, planning, reflecting, self-monitoring and evaluation (Ross & Hoaken, 2010). The nature of the collaborative space created by PAR allows for change to evolve as a natural outcome of the context (Somekh, 2006) – much as in the case of interactional collaboration approaches that have been demonstrated to be successful in neuropsychological interventions (Wykes & Reeder, 2005; Ylvisaker & Feeney, 1998). The very focus on inclusion, building relationships and working together, assists in making and establishing real (therefore sustainable) relationships with the community. Thus, as in the neurorehabilitation research, the focus becomes mutual goal setting, co-planning, joint reflection, collaborative monitoring and shared evaluation between individuals of society. Through the creation of knowledge, the individual and the society are simultaneously drawn in.

The above points to the importance of not only utilising PAR as a method, but also to evaluate it as an intervention in terms of representing a real-life platform which could foster development in both executive functioning and social inclusion – contributing to how individuals and society can change each other in order to benefit both.

2.6 Conclusion

The complexity of correctional rehabilitation warrants a multi-disciplinary approach. The disciplines of criminology, neuropsychology and community psychology have each contributed knowledge to the evolution of correctional rehabilitation. Between these seemingly different fields, important areas of overlap can be identified to be utilized as a basis to inform the development of a more integrated model.

Such a model would require individuals and the society which they are part of to be involved in the development and evaluation of rehabilitation interventions in an empowered way. It requires the describing and unpacking of intense and longitudinal interventions that can allow flexibility to cater for specific needs and contexts. The neuropsychological profile of the incarcerated population group should be considered. Such a process should focus on what helps members of the society to participate in that society as creative agents. This would include enabling people's everyday functioning to be more effective by improving their executive skills. It is important for rehabilitation efforts to include society in

correctional centres and the rehabilitation of offenders to not only counteract the negative impact of incarceration (in the short term) and to facilitate sustainable inclusion, but also to educate society about more effective rehabilitation approaches for the long term.

The essence of a model linking the three disciplines together can be summarized as developing rehabilitation projects that facilitate participating in society (executive functioning) through collaborative social interventions (social-inclusion) that are inclusive in both a bottom-up and a top-down ways (critical theory). The chapter concludes that PAR can unify and realize these important principles: it provides a real space for practicing the skills that are needed to be effective in society in a relational way and can address exclusion by involving society with people who are incarcerated so that both learn from and develop each other.

Thus, influenced by critical theory's normative and practical focus, Chapter 3 outlines the transformative philosophical positioning which guided how this study developed a real-life project to explore the realization of these principles. This journey is described in 5 stages in Chapter 4. The impact of this effort is demonstrated in Chapter 5 reflecting a landscape of results. Chapter 6 describes a model for rehabilitation as it had been crystalised from literature and the results. It concludes with recommendations for the implementation of the model based on the participatory action research.

CHAPTER 3

PHILOSOPHICAL POSITIONING AND ITS RESEARCH IMPLICATIONS

How would research methodologies change if we started our work with the premise that we are all connected and that we have a responsibility for ethical work that is respectful of all who came before us, who are here with us (living and non-living), and all who will come after us?

Mertens (2015c, p. 3)

Kuhn (1970) shifted scientific thinking to become more self-aware of working from within a certain paradigm. All enquiry is done within a certain worldview, held at a certain moment in time. A paradigm entails specific ethical assumptions, a framework of beliefs and feelings about reality and the world and how it should be examined (Guba & Lincoln, as cited in Mertens, 2012b). This world-view guides the researcher, it influences the nature of the questions being asked and shapes the answers that are found. It determines a study's theoretical context and the meanings of the findings (Chalmers, 1999). Thus, all research is interpretive (Denzin & Lincoln, 2011).

Because research outcomes can potentially affect decision-making in society, researchers have an ethical responsibility to critically examine their worldview and assumptions. The researcher needs to be aware of the choices s/he is making about what is important to find out and about how this knowledge is being derived within a certain context (Mertens, 2009).

The literature review in the previous chapter commenced with an initial pragmatic, problem focussed framework (Creswell, 2014). It aimed to inform the development of a relevant, integrated model in order to address the rehabilitation of offenders. Subsequently, the theoretical influences from community psychology, critical criminology and neuropsychology have shaped this study to develop a more distinctive transformative (participatory) philosophical approach (though with pragmatic elements) (Creswell, 2014).

The **transformative paradigm** (Mertens, 2012b), therefore, provides the metaphysical basis from which the current study was developed. The paradigm was particularly triggered

by critical criminology which the previous chapter identified as the theoretical overlap between the fields of criminology and community psychology. Critical criminology is normative, it interrogates values and assumptions and judges reality in terms of social justice and human rights. It summons researchers to engage with the fact that reality is revisable and to utilise the creation of knowledge to emancipate the disempowered (Scotland, 2012). It is from this angle that the current study commences.

This chapter firstly provides an outline of the transformative paradigm's underlying assumptions and highlights the specific implications for research practices. From this flows a discussion of how transformative principles are being translated into methodology. The historical problems and dilemmas of this process are then identified as well as the emerging answers. This social-historical context provides the platform from which the current study steps out.

3.1 The TRANSFORMATIVE Paradigm

The transformative paradigm is an umbrella term which combines many philosophical positions that have the ethics of enhancing social justice and human rights as core principles (Mertens, 2012a, 2015c). It developed from 20th century attempts to understand the complexity of the social world. It aimed to develop socially meaningful and contextually relevant practices by considering the interplay between culture, theory and method. Inherently, the transformative framework aims to further social justice and human rights. It addresses the status quo of power and privilege by directly engaging the voices of individuals who have experienced a history of exclusion (Chouinard, 2010).

Mertens et al. (2009) describe the transformative worldview's philosophical assumptions and underlying beliefs in terms of its **axiological**, **ontological**, **epistemological** and **methodological** positioning. The following section will use this outline to also point out its direct implications for the researcher's role and activities.

3.1.1 Assumptions About the Nature of Ethical Behaviour (AXIOLOGY)

Axiology is concerned with the role of ethics what is considered to be of value when research is conducted (Teddlie & Tashakkori, 2010). Axiology is central to the transformative paradigm and encompasses the ethics of critical, post-colonial, indigenous and feminist theories. This axiology provides the conceptual basis from which the transformative ontology, epistemology and methodology logically flows (Mertens, 2012a; Mertens et al., 2009). The researcher takes an ethical position of asking what is intrinsically worthwhile (Scotland, 2012) and the quality of the research is determined by its partnership contribution to sustainably further **social justice** and promote **human rights** (Mertens, 2015a, 2015b). Therefore, it would seem that the research ethics principle of beneficence is fundamental to transformative enquiry. As a theme this is often referred to in the current inquiry.

3.1.1.1 Social Justice

Distributive Justice

Social justice is defined in terms of distributive justice – the equitable allocation and distribution of the resources and opportunities that are necessary to advance quality of life. This is done by highlighting the voice and prioritizing the advancement of the least advantaged. Therefore, research investigations have to be sensitive to how historical and political dimensions may have caused unequal access to means. Such an awareness can inform a co-operative working with community members in identifying and realizing their goals (Mertens et al., 2009).

Lincoln (2009) critically adds to the concept of social justice arguing that it needs be complemented by an orientation of caring and relation. She reasons that a theory of care precedes the theory of justice and can address citizenship, marginalization and cultural diversity. It can be assimilated in political, spiritual and moral dimensions.

Social diversity

Social diversity is linked to attaining social justice. The transformative paradigm starts from the principle of interconnectedness. It requires openings for collaboration to develop *ethical relationships*. Ethical relationships can facilitate the understanding of different

cultural groups on both cognitive and spiritual levels. Social diversity enables the dynamic understanding and challenging of the oppressive consequences of power and privileged status quo as well as the societal structures (policies, programmes, methods) which uphold these. People's sense of control, exercise of personal freedom and integration with society are the central focus. The research focusses on inclusion. It aims to empower an incarcerated community to express their opinions and to take an active role in change (Mertens, 2012a; Mertens et al., 2009). This is, however, done with the awareness that the concept 'community' refers to complex entities. Communities are fluid, heterogeneous, have diverse needs, opinions, biases and consist of varied power relationships (Guij & Shah, 1998). Transformative researchers are thus required to consider multicultural validity and authenticity. This would enable giving an accurate, balanced and fair representation of participants' various viewpoints and to represent understandings across the cultural complexity (Mertens, 2015b).

3.1.1.2 Human Rights

Human rights encompass the undeniable rights which all humans are entitled to: the right to life, liberty and freedom, security and equal protection under the law, freedom of movement, of thought, opinion, expression, religion, peaceful assembly, participation in governance, working in just and favourable working conditions, marriage with free and full consent, ownership of property and education (Mertens et al., 2009).

The transformative paradigm approaches rights-based ethics from a group or societal level. Particular attention is given to vulnerable populations and groups who did not previously have equal access to these rights. This includes the inherent right to dignity and also the regulatory ethics principles as they are being evolved by professional research ethics codes. Transformative ethics continues to confront the development of the regulatory principles of respect, beneficence and justice. Because cultural norms of interaction would impact how these principles are being realised, the researcher is required to develop sufficient critical awareness to ensure that inquiry in diverse communities and across cultural groups are done in an ethical way (Mertens et al., 2009).

3.1.1.3 The Researcher's Cultural Competency and Responsiveness

Following from the previous section, it is thus paramount in transformative enquiry that the researcher is able to be culturally responsive and competent. Therefore, Mertens has highlighted this extensively in her writings. Cultural competence enables the creation of a context from which social justice and human rights can be addressed throughout the research process. Cultural competency allows investigators to adequately consider research questions which stem from the axiological assumption of having the ethical responsibility to be agents of pro-social change. The methods of inquiry need to challenge discrimination and address negative effects of racism, prejudice, bias and oppression. The interpretation of the findings needs to reflect the socio-political context of the participants and its dissemination should be meaningful and relevant to the participants (Mertens et al., 2009).

Given the importance of cultural competence throughout the research process, it would be useful to provide Mertens' (2012a) definition of the concept: "a systematic, responsive mode of inquiry that is actively cognizant, understanding, and appreciative of the cultural context in which the research takes place; it frames and articulates the epistemology of the research endeavour, employs culturally and contextually appropriate methodology, and uses community-generated, interpretive means to arrive at the results and further use of the findings" (p. 4). This can only be done if researchers are able to build rapport within the socially diverse context, to develop the trust of the community participants and to critically examine their own biases (Mertens, 2012a).

In order to critically consider important research ethics questions, the researcher would require a self-awareness in relationship to the community, e.g., how respect is shown to historically depreciated groups, and how consent can appropriately be obtained in terms of diverse communities' cultural norms of interaction (Mertens, 2012a; Mertens et al., 2009).

Being culturally responsive allows the researcher to learn cultural norms of behaviour and communication, to be open to diverse views and to adopt appropriate respect for social histories. A sufficient understanding of a community and the persistence of discrimination allows the researcher to challenge the status quo and provides the necessary platform from which social change can occur (Mertens, 2012a).

3.1.2 Assumptions About the Nature of Reality (ONTOLOGY)

The transformative paradigm acknowledges the nature of reality as socially constructed by the interplay between social, political, cultural, economic, ethnic, disability, physical location and gender values. It is therefore contextual, multi-faceted, dynamic, always changing and imperfect (Mertens, 2012a, 2012b; Mertens et al., 2009, Scotland, 2012). Transformative ontology highlights that it is ideology, historical influences and differential power relations which determine whose version of reality is perceived as the most legitimate. The concern is with the resulting negative consequences that may accompany an acceptance of such a dominant version of reality. This concern specifically involves the social structures and policies which perpetuate dominant privileged versions of reality to the disadvantage of people who are marginalized (Mertens, 2012a; 2015b; Mertens et al., 2009).

The transformative researcher has the responsibility to critically question the impact of power issues that may underpin the definition of the research problem and determine the characteristics of the target group (Mertens, 2012a; 2015b; Mertens et al., 2009). In their effort to bring about social change, thereby challenging the status quo, researchers have to critically consider what may be missing when the marginalized views are not afforded legitimacy. They need to give priority to the version of reality which can contribute to social justice (Mertens, 2012a). A relevant example within criminology may be the justice system's version of reality as opposed to that of the prisoners and the victims. The domination of the justice system narrative creates a process of punishment which does not deal with the causes or the prevention of crime, neither does it address the impact thereof. This contributes to a vicious circle of crime and ongoing suffering in society (e. g., see sections 2.2.2 & 2.4).

3.1.3 Assumptions About Achieving Accurate Knowledge (EPISTEMOLOGY)

The realization of multiple truths is emphasized by the transformative paradigm (Mertens et al., 2009). Instead of working towards a singular objective account of reality, transformative enquiries attempt to cultivate and validate multiple narratives. These are recognised to be in reciprocal interaction. Acknowledging different and conflicting perspectives are valued, as it on the one hand facilitates learning and a broader and deeper understanding; on the other hand, it also increases capability as it provides more options for

accountable choices of action (Romm, 2002). Multiple methods of knowing are involved using various lenses, genres, interpretive practices, strategies and methodological techniques. The richness of data that is obtained serves to highlight the complexity of reality as well as the imperfection of knowledge (Ellingson, 2014; Mertens, et al, 2009).

Transformative epistemology attempts to redress the unequal power relations which impact all aspects of research, from the questions being asked and the research design to the utilisation of the findings. The involved community takes a central position as co-creating participants of the knowledge creation. Thus, the entire research process is developed with cultural competency and responsiveness in order to be directly answerable to that community. Close attention is paid to the trusting nature of the relationship between the researcher and participants, as this determines the truthfulness of the knowledge. An interactive collaboration is required which includes the people of the community, not only their leaders. The research aims to empower the participants in the enquiry process. This is done by using the participants' preferred language and interrogating power relationships and the researcher's position of privilege in this process (Diversi & Moreira, 2009; Mertens, 2012a, 2015c; Mertens et al., 2009; Moloji, 2013).

"Critical subjectivity" (Heron & Reason, 2001, p. 149) replaces the notion of a neutral, finite, objective position. Rather, the researcher, in partnership with the participants, develop and evolve their individual, real-life knowledge into a usable personal viewpoint of reality (Heron & Reason, 2001; Mertens et al., 2009). Harding (1995) argues that it is rather the linking of objectivity with neutrality which feeds into moral detachment. She coined the notion of "strong objectivity" instead (p. 331). Drawing from a feminist standpoint epistemology, she argues for research to start off from the perspectives of those who least benefit from power imbalances. This provides a "critical edge for generating theoretically and empirically more accurate and comprehensive accounts" (p344) – thus, actually strengthening the objectivity of the research.

Said (as cited in Moloji, 2013, p. 110) refers to how local knowledge is utilised to co-construct "participatory shared futures that both redress and progress social justice". This is done by a balanced being "together" and "separate" that are progressive, dynamically interactive and inter-determinate. Christens & Speer (2006, p. 2) highlight that this "**local knowledge**" is however not seen as a static, homogenous commodity which is pre-existing and requires to be extracted. Instead, local information is understood as being developed by

social interactions and relationships and is therefore also inherently political (). As a result, it is necessary to be critically aware of the type of knowledge which is being revealed, the privileged and suppressed voices therein (Cooke & Kothari, 2001) and the new types of knowledge and ways of knowing that are being established (Kesby, 2005). Respecting and honouring participants' rights, allows for their strengths to be identified and recognised (Mertens, 2009). Truthful knowledge can present the multiple truths of a reality, and specifically the voices and strengths of the underrepresented. The outcome of research can be assessed in terms of how well it reflects the complexity of the community, addresses injustice and provides solutions to social problems (Mertens et al., 2009).

3.1.4 Assumptions About Appropriate Methods of Systematic Inquiry (METHODOLOGY)

Mertens (2012a) demonstrates how methodological assumptions flow logically from a transformative paradigm (a) axiology, (b) ontology and (c) epistemology and impact every stage of the research:

- a) The reality of a concept is portrayed in an ethical manner according to the research guidelines that have been developed by the relevant community.
- b) The necessary methods, techniques and strategies are deployed to determine the various accounts of reality, how they are influenced by power and privilege and the potential change which they may signify.
- c) Relationships are established to allow and inform the study to be more culturally responsive.

As mentioned in the epistemology section, transformative research assimilates its practice from multiple theories and approaches (Mertens et al., 2009). Choices about methodology are mindful of how historical and contextual issues may impact unequal balances of power and vulnerability. Crucially, transformative research findings need to inform sustainable action to addresses such social inequities (Mertens, 2009; Mertens et al., 2009). Methodology is approached as the means to an end: "change is the underlying aim" (Scotland, 2012, p. 14). Transformative methodologies focus on the quality of a collaborative relationship, as this is essential for allowing those with less power to participate in research and to be heard (Diversi & Moreira, 2009).

A transformative research design needs to be able to reveal the community's resources, resilience and acts of resistance: their ability to "(r)ecover, perform and transform in the face of adversity" (Mertens, 2015c, slide 5). It requires shifting away from a deficit-based or problem-focused view. The research methods should utilise the positive life-yielding aspects of a community, as it is from this basis that social change can be triggered (Ludema, Cooperrider, & Barrett, 2006).

Transformational methodology attempts to, in the words of Diversi and Moreira (2009), "decolonise ways of knowing" - "to think, act, and represent inclusively" (p. 20). Research techniques are changed in order to include cultural complexity. Mixed methods and crystallization can be used to ensure that different perspectives are included and the community's questions are met. However, Mertens et al. (2009) state that methodological choices "go beyond quantitative, qualitative, or mixed methods to how to collect data about the reality of a concept in such a way that one feels confident that one has indeed captured that reality and done so in an ethical manner" (p. 88). Nevertheless, transformative research always has a **qualitative** or dialogical dimension. This ensures partnerships with diverse stakeholders in culturally responsive and cyclical processes (Mertens, 2012a, 2015a).

3.2 QUALITATIVE RESEARCH

Qualitative inquiry is a recognised research approach which cuts across disciplines, fields and subject matter. It has developed through various stages as its characteristic tensions and contradictions have facilitated the evolution of new understandings. Central to its complex history has been the ethics and politics associated with evidence-based research and the role of qualitative work to address social justice (Denzin & Lincoln, 2011), "anticipating a better society in the very process of struggling for it" (Parker, 2005, p. 123).

Qualitative research studies complex phenomena in their natural setting and context in order to explore, document, understand and explain how they are experienced in the process of meaning-making (Flick, 2007; Macdonald, 2012). Thus, qualitative research focuses on real-life encounters (Diversi & Moreira, 2009). It attempts to capture how people give meaning to their experiences. Interviews, conversations, recordings, photographs, artefacts, fieldnotes, case studies, personal experiences, memos, introspection, life stories, productions and any meaningful text may be utilised. Because a series of different interpretive practices can be used together to capture meaningful moments of people's

lives, this process has been referred to as the making of a quilt, jazz performance, or collage (Denzin & Lincoln, 2011), a prism (Mertens, 2009), a many-sided crystal (Ellingson, 2009), tapestry (Chevalier & Buckles, 2013; Preissle, 2011) and narrative creation (Diversi & Moreira, 2009). "They move from the personal to the political, the local to the historical, and the cultural. These are dialogical tests. They presume an active audience. They create spaces for give and take between reader and writer" (Denzin & Lincoln, 2011, p. 5). Hereby, Denzin and Lincoln reflect how qualitative texts capture the complexity of reality in its many simultaneous facets. The researcher is situated, in relation to the participants, within their own personal and biographical history and the social context which has shaped them. The research process works through this positioning and its implications. The qualitative texts also have an element which is 'alive' - which impacts the here and now. For, apart from the researcher and participants, there is also the reader who is expected to engage, to re-interpret, and to be changed as well.

In conclusion to this section, it should be noted that 'quantitative' and 'qualitative' may only refer to the type of data being used, which can be irrespective of the worldview or philosophical paradigm (Biesta, 2010). This is an important observation – as it highlights that methodology is secondary to research aims, and should be in service of achieving research goals.

3.3 ACTION RESEARCH as a Qualitative Research Approach

"Action research puts questions of social change on the agenda in every form of qualitative research" (Parker, 2005 p. 123). In its qualitative format, action research has a twofold focus. Firstly action, to enable change, and secondly research, to generate knowledge or understanding (Dick, 1997). Dick (1997) places the different action research methods on a continuum according to how much the focus is on the 'action' (with learning and change as an outcome) or the 'research' (with more focus on research design and publication). He characterizes action research as a cyclical process which involves intention/planning, then action, followed by critical review. This allows for a combination of responsiveness and rigour which respectively meet both the action and research requirements of a study.

Critical studies utilise action research as a methodology to enable change (Scotland, 2012). The participatory, cyclical and responsive elements of action research thus links well

with the assumptions of the transformative methodology as mentioned in section 3.5. The process allows for considering the influence of socio-political structures on our internal lifeworld and everyday life experiences. As an enquiry's ethical and reflexive dimensions expose this underlying politics, transformation for researchers and participants can be facilitated (Parker, 2005). Parker (2005) argues for a "radical action research". Instead of just being a research method, action research should rather "reinvent" (p. 125) methods to transform research "into a prefigurative political practice" (Parker, 2005, pp. 123-124).

3.4 Participatory Action Research (PAR) as Action Research Methodology

PAR has a lengthy and diverse lineage which has led to varied approaches and continued debates. The methodology's evolution has particularly been scrutinized in the literature of development studies (Hickey & Mohan, 2004).

With its 'critical action research' position (Dick, 1997), PAR inherently focusses on how the research participants are involved in all of the research process (Creswell, 2014). This methodology attempts to address power relationships embedded in research. This is done by facilitating reciprocal relationships that can reallocate power and build capacity to transform participants' reality (Kesby, 2005). Both the participants as well as the researchers discuss, analyse and recreate their knowledge. Persons become 'conscientized' about their reality and engage in changing it through consistent reflection on their actions. Through this process, both participants and researchers are transformed (Freire, 2009). PAR is thereby not just a means for doing research, but a means for empowerment (Williams, Véron et al., 2003).

3.4.1 Critique of PAR

Initially, PAR methodology was mostly utilised in community development in order to enable more empowering, democratic, just and effective processes to contribute to participants' lives. However, as PAR became a more wide-spread practice, concerns were raised that it was not sufficiently "participatory, bottom up and open" to live up to all it had claimed to be (Christens & Speer, 2006, p. 2). In particular, a body of criticism has developed that points out how PAR is 'done to' people, thereby undermining the transformative goals (Stiegel & Wolfe, 1994; Cooke, 2001). Cooke and Kothari (2001) accuse PAR of the

illegitimate and unjust use of power and identifies three such 'tyrannies' which have also been echoed by other authors:

a) *Decision making tyranny:* PAR has become institutionalized (Penderis, 2014), ritualized (Kothari, 2002), formulaic (Hailey, 2001), 'technocratic', 'populist' and 'project-based' (Hickey & Morgan, 2004, pp. 10-11). This happened because the perceived universal legitimacy of PAR could be manipulated by government structures and large-scale development agencies. In this way, the top-down tendencies in centralized planning and decision-making could be maintained. Participation is thus used as a mere commodity for the advancement of organisational image and credibility (Francis, 2001; Hildyard et al., 2001; Mosse, 2001; Penderis, 2014; Taylor, 2001).

b) *Group tyranny:* Embedded in local knowledge are also the existing power regimes and internal politics. Together with group dynamics and processes in open public spaces these social contexts may impact individuals' behaviour in multiple ways. The simple use of participatory practices has at best been naïve about issues of power, masked the external power inequalities and even reinforced existing inequalities (Awortwi, 2013; Cleaver, 2001; Cooke, 2001; Francis, 2001; Hildyard et al., 2001; Kothari, 2002).

c) *Methodological tyranny:* PAR is characterized by theoretical tensions (Cleaver, 2001; Kesby, 2005). In these debates it has been accused of "unnecessary philosophical dualism", "dogmatism" and being "flawed, idealistic or naïve" (Christens & Speer, 2006, pp. 2-3). This criticism involves the oversimplification of politics, power and communities into dichotomized categories, relinquishing transformation as a goal, inappropriate operations that manipulate the vulnerable and taking an evangelical stance with regard to PAR (Cooke & Kothari, 2001). Despite this internal struggle, PAR continued to dominate the development methodologies. This domination has suppressed alternative options and approaches for enabling development (Hailey, 2001; Penderis, 2014).

These criticisms have revealed an inadequate understanding of practicing participation for transformation (Penderis, 2014). Several authors blame this on the absence of a coherent theoretical conceptualisation of PAR (Hickey & Mohan, 2004; Christens & Speer, 2006).

3.4.2 Theoretical Reconceptualisation of Essential PAR Principles

Power

Most authors concur that an understanding of the relationship between participation and the political influence of existing power structures and systems are the platform for transformation (Hickey & Mohan, 2004). Hagey (1997) and Kesby (2005) agree that instead of avoiding the impact of unequal power in the participatory process, it should be engaged and worked with as a source. Both authors utilise a Foucauldian understanding of power – that it cannot be escaped, that it is always present and can be negotiated.

The understanding of power thus needs to move away from the over-simplified, binary, polarisation (e.g., important and powerful ‘upper’ outsiders as opposed to local ‘lower’ beneficiaries) as has been suggested by earlier PAR literature (Chambers, 1994, Cruddas, 2007; Diversi & Moreira, 2009; Henkel & Stirrat, 2001; Klocker, 2012). Analysis of participatory processes should acknowledge the complexity of power (Cooke & Kothari, 2001) and approach it as multi-dimensional (Hickey & Mohan, 2004). Hereby, the different forms of power can be recognised, while the community’s engagement is kept as central (Hagey, 1997). These forms of power could include ‘sovereign forms’ of power, ‘biopower’ or ‘red power’, ‘normalization’, ‘hegemony’, bias, partiality and vested interest (Kesby 2005; Penderis, 2014).

Kesby (2005) highlights Foucault’s formulation of power as unstable and how it relies on a necessary process of re-enacting and re-performing to seem to be constant. It is in this very process where Kesby finds the potential for transformation. Within a specific position or situation of interplaying powers (e.g., our contexts and the scripts that mould our actions), there is “a central role of conscious, reflexive agency” (p. 2046) which can draw from a wide concurrent mixture of sources to participate in dialogue and action. Participation, resistance, and a framework of social justice are such sources.

In these terms, power, becomes a source. It circulates between people to be tapped into to move across a continuum from ‘control over’ to ‘working with’ in collaborative action to developing self-agency (Cornwall & Coelho, 2007; Gaventa, 2006; Penderis, 2014).

Empowerment

Although the concept of empowerment is important and often referred to in literature, as in the case of PAR itself, its theoretical formulation has not been well developed. Kesby (2005) attempts to address this limitation and differentiates between a temporal and a spatial approach to empowerment.

The **temporal understanding of empowerment** has both a sovereign and a linear perspective. The sovereign perspective views empowerment as something which can be “owned”. It cannot be “delivered” (p. 2051), but people can be facilitated to own their capacity to live calculated choices. Empowerment (as opposed to power) is inherently shared, mutual, lateral (as opposed to hierarchical), answerable, enabling, collaborative and leads to self-efficiency.

The linear understanding involves Freire’s (1996, 2009) use of empowerment as a process. It describes a journey of awareness raising, self-discovery, enlightenment and politicization. This process leads to the circular movement between experience, reflection, planned intervention and review, to change the status quo that dominates everyday life. Although it starts with the individual it inherently develops into collective actions to change crucial hegemonic aspects of society. In this regard empowerment is seen as special moments which can only happen once participation has been occurring over a significant time period. In projects that are of a temporary nature, the sustainability of empowerment, is therefore usually vulnerable.

Critics of empowerment have warned that it is not an entity which automatically causes systemic transformation. Empowerment has been depoliticized and tailored into a mere psychological feeling, taking initiative, acting responsibly, being a good citizen and being economically active (Christens & Speer, 2006). Henkel and Stirrat (2004) point out that it may be more useful to shift the focus to what people *are empowered for*.

According to Kesby (2005) transformation can only be possible if people are empowered to facilitate constructive change in their own lives. Such empowering involves the explicit understanding of **power**, through knowledge. This idea resonates with the reasoning of Hickey and Mohan (2004) that empowerment is enabled through an understanding of power itself.

Kesby (2005) argues for understanding empowerment in terms of power rather than placing empowerment in opposition to power. Empowerment and power are interwoven products of human interaction which involves all of the research process and which at times may play out both positively and negatively. It would therefore be more productive to focus on their similarities. Neither empowerment nor power are concrete goods, but the outcomes of created dialogues and performed activities. Both regulate the participants and researcher's actions. Although the researcher has the initial power of initiating a project, participants enrol and subsequently enrol others into additional empowering interventions. Effective empowerment by-passes the status quo by developing, establishing, implementing and normalising new powers. Powerful discourse may lead to empowered agency, but, because these are both processes – empowerment is always incomplete, contextual and moulded by the future. The meaning and impact of empowerment at a certain point in time can change as the context changes, the consequences unfold and the participants develop.

In his reconceptualising of empowerment, Kesby (2005) gives space a central position. Empowered participation connects with “real struggles in material spaces and places” (p. 2054). Kesby's “**spatializing**” (p. 2052) of empowerment links with Massey's (as cited by Hickey & Mohan, 2004) and Cornwall's (2004) ‘spatialized take’ on participation. He emphasises empowerment as the repetitive performance of participation in real (as opposed to conceptual) places. The ongoing rehearsal of participation allows it to become part of a viable script that people can have access to. Only the continuous practise of empowerment can allow for it to become a source for people to readily draw from. This formulation moves the focus to the type of spaces that enable empowerment; the type of spaces that allow, support and encourage sufficiently repetitive participating performances; the type of spaces that secure the effect of participation (Kesby, 2005).

Kesby (2005) reasons that such “participatory arenas” (p. 2056) have the potential for **transformation**. They allow for creating space in everyday settings where processes can happen that deconstruct the ways in which people relate to each other. In these “special ‘other spaces’ ” alternative conversations and behaviour are rehearsed that are very different to everyday practices. Here, the status quo and privilege of the researcher is by-passed through conversations, information sharing, the application of skills and “practices of equity, free speech and collaboration”. Through utilising participation, participants

“construct themselves as reflexive agents and constitute/represent their opinions and experiences to themselves, one another and facilitators” (p. 2055). This opens up opportunities for:

- a) making sense of the complexities of everyday life;
- b) critically analysing customs and practices;
- c) thinking about conventional happenings;
- d) practicing alternative options.

In this space the *facilitating researcher* is sensitive about how contentious issues are managed, arguments mediated and the silenced voices heard (Kesby, 2005).

Embedded participation

‘**Community**’ should not be understood in simplistic terms (see section 3.2.1 Social Diversity). It is not a singular unit, but consists of “any number of overlapping and co-constitutional groups” (Christens & Speer, 2006, p. 7). As each group shapes each other an attempt should be made to acknowledge the different groups’ attributes, even those found to be oppressive (Christens & Speer, 2006). Thus, the participatory spaces or “temporary time-space social arenas” (Kesby, 2005, p. 2057) that are created within the everyday settings of a community are also not isolated, but are interwoven with the macro socio-political-cultural-historical-material processes. As a result, they are not coherent and autonomous entities. These spaces also involve other spaces, conversations and practices which are brought into, overlap and have to be returned to from the participatory arena (Kesby, 2005). Participatory spaces should thus be seen as “complex social worlds”, they are “living and contested entities” with active elements which may have originated in other places (Hickey and Mohan, 2004, p. 18).

In these terms research participants’ “right to speak” is coupled with “the consequences of doing so” and exposes “survival strategies” in marginalized positions – explaining decisions not to participate (Kesby, 2005, p. 2056). Consequently, as people are active and knowing agents in their well-being, these places of participation need to be unpacked in terms of the different forms of political action that may relate to the participation (Christens & Speer, 2006). Depending on the power relations and reasons for

creating them, spaces as lived experience hold the potential for action by the marginalized (Hickey & Mohan, 2004).

Sustaining empowered participation

Space as lived experience allows for political learning, practices and history to move, be transported and transformed to different and new spaces and sites. This can happen consciously or unconsciously (Christens & Speer, 2006; Hickey & Mohan, 2004).

Kesby (2005), however, highlights participants' vulnerability as they need to return to their "power-soaked everyday spaces" (p. 2056). It would appear that the 'empowerment spaces' tend to collapse once the facilitating researcher withdraws. Sustainability of interventions has therefore been both a technical and ethical issue of PAR that has mostly been answered by motivating for projects to be executed over significant time periods. For transformation, it is crucial to ask from the onset of a programme how the social-spatially connected performance of empowered conscious agency can be replicated into ordinary existing spaces. This requires the recognition of elements which assist repeated performances to become normalized and entrenched into daily routines. In this regard Kesby (2005) suggests a few possibilities:

- a) enduring project sites;
- b) self-efficient social groups which are periodically supported;
- c) utilising pre-existing groups.

Locus of transformation

The participants' vulnerability is essentially related to global and national socio-economic conditions. Thus an 'up-scaling' of participation to other levels of social relationships has been argued for in order for empowerment to be sustained (Kesby, 2005).

Various authors suggest that the locus of transformation must go beyond the **micro**, the individual and the local, and involve the structural and institutional (Cornwall, 2004; Hickey & Mohan, 2004). Working on the local level can nevertheless illuminate the reciprocal influence of individuals and institutions and how local participatory processes depend on **macro** political contexts (Hickey & Mohan, 2004). Gaventa (2006) states that "rather than being separate spheres, the local, national and global are increasingly interrelated. Local forms and manifestations of power are constantly being shaped in relationships to global

factors and forces, and in turn, local action affects and shapes global power” (p. 28). Transformation therefore requires the involvement of “multi-scaled strategies” that encompass all levels of the social world (Hickey & Mohan, 2004, p. 15). Although all aspects of exclusion and hierarchy may not be reversed, it may impact the nature of these relationships and people’s responsiveness and influence within these reciprocal relationships (Williams, Véron et al., 2003; Williams, Srivastave et al., 2003).

3.4.3 Evaluating PAR

Christens and Speer (2006) maintain that a more coherent theorization of PAR could provide a structure for critical examination and testing in order to account for and potentially move beyond the previous shortcomings. This is complicated by the various dimensions, disciplines and opposing contexts and ideologies involved with PAR (Penderis, 2014). Some authors have however tried to develop frameworks for evaluating and monitoring participatory processes in terms of a transformation continuum. Hickey and Mohan (2004) has for instance suggested four axes with which PAR processes can be compared. Gaventa (2006) in turn, focuses on analysing power within a particular space in terms of three dimensions and Toomey (2011) uses eight roles to classify community development practices with. Penderis’ (2014) developed an extensive analytic framework which appears to integrate the various potential dimensions. This considers the way a **participatory space** is created, its **levels** and dimensions of participation, the **mechanisms** of participation and the nature of the power dynamics. Hereby, focus is brought to creating inclusive spaces, that enable interactive participation, equal decision-making, collaborative working and self-mobilization. Her framework has served as a reference guide throughout the development of the current study’s methodology. This is predominantly reflected in the next chapter which describes negotiating entry into the correctional setting as an ongoing process which involves collaborate relationships and working with the institution’s role players, physical spaces and routines (see section 4.2.1.2).

3.4.4 Towards More Transformative Participation

Important for the rehabilitation focus of the current study is Christens and Speer’s (2006) proposal that the transformative elements of participation can be enhanced by a more practical orientation which utilises modest language about what it can achieve. The

complexities and paradoxes involved in communities, participation and change need to be acknowledged. For the current study, such paradoxes and complexities can be expected to be particularly intense, as is the nature of environments of incarceration (Liebling & Arnold, 2004; Liebling et al., 2001).

For participation to be transformative, a transdisciplinary position of continuous reflexive action is needed “that allows experimental habit to constantly reconstruct ideas and beliefs” (Christens & Speer, 2006, p. 9). Such critical self-reflection is required not only for the researcher but for everyone involved in the participatory process (Williams, Srivastava et al., 2003). The following themes for reflexivity have been identified in the literature: the values of social justice, participation, change, development, opinion, aims, practice, empowerment, engagement, sense of community. This study will demonstrate the centrality of reflection, not only in the terms of the transformative ideology mentioned here, but also as both a trigger and product of neuropsychological plasticity and its eventually becoming one of the core elements for an integrated model of rehabilitation.

Hickey and Mohan (2004) conclude that the transformation focus should be moved to the relationships, practices and resource gaps that cause exclusion. Transformation need to be defined “**in terms of the levels in which it takes place, the period over which it occurs and the ideological underpinnings**” (p. 13). The following chapters will tell the story of how this study attempted to chart a process of transformation, utilising PAR to work with a group of CMs and representative from the community.

3.5. Conclusion

This chapter outlined the transformative paradigm’s underlying assumptions as they informed the study’s conceptualisation, implementation and analysis. It therefore specifically focussed on how transformative principles can be translated into methodology, considering the historical problems as well as emerging answers. For this research enquiry, the transformative framework’s axiology required a responsive PAR study. The important themes highlighted in this chapter are summarized in **Figure 3.1**. The figure gives an introduction to the following chapter, preparing the reader for how these themes unfolded to demarcate the research process into specific phases. In each phase of the research an important aspect of the transformative approach played a central role, although this was

also continuing and overlapping throughout all the phases. It will give an account of how the current enquiry attempted to address the issues which PAR highlight, as they revealed.

Figure 3.1

Phases of the Study



CHAPTER 4

RESEARCH METHODOLOGY JOURNEY

The action research journey winds like a mountain road, with many side tracks, road blocks, detours and cul-de-sacs.
Zuber-Skerrit & Fletcher (2007, p. 427)

Responsive research was an essential element of this study (Noddings, 1984, 2013). It required reflective participation to illuminate, follow and create the realizing of a transformative framework, integration of three disciplines and managing an incarceration environment. The responsive approach allowed the research methodology to develop in five phases which provides the structure of this chapter: I) ethical research; II) action research, III) reflexive research, IV) participatory action research, V) transformative research: becoming a transformed researcher. The chapter reports the journey of the chronological development of these phases in a reflective narrative (Asselin, 2011). In writing the story looking back, several voices from different moments in time and numerous resources are echoed. This section attempts to integrate these voices in the 'quilt' of the present. Visual examples form part of this, and are embedded in the text as titled *snapshots*. The following chapters' incorporation of the visual modality (e.g., using colour, photographs and diagrams) are in some ways an extension of the study itself. It has the neuropsychological function of accessing the brain holistically, making phenomena more alive and real – also demonstrating the study's inherent premise of working with real life.

In the previous chapter, Figure 3.1 introduced the five phases, reflecting the characteristic focus of each phase as well as the thematic overlap between them. In this regard **Table 4.1** expands on Figure 3.1. This summarising overview of the study serves as a reference map. Table 4.1 contains the study's chronological interventions, contacts, activities, events, respective data sources, attendance information and visual analysis inventory (diagrams and figures). In the following sections reference to when an event occurred refers back to this table with the entry: KEY Table 4.1. In this regard **Table 4.1.1** provides a further summary of the key events which emerged to play a central role in the reporting of the findings.

Table 4.1

Outline and Summary of the Study's Phases

FOKUS	Intervention	Sessions	Date	ACTIVITY &	DATA				FOCUS:	Transformative	PAR	Reflexive	Action	Ethical
					ATTENDANC	Fieldnotes	Poster	Transcript						
1.	Preparation	2 yrs		Employment in DCS & Conf Presentation										Ethical Research (Phase I)
		yr 3		Conference Presentation										
		yr 4		1st Contact with community member		x								
				Proposal & Information Booklet										
		yr 5		Planning and preparing		x								
		& 6		First visit at new correctiona centre		x								
	Engagement	Month 2	1		Entry: first official day		x							Action Research (Phase II)
			2		1 st introductory group Lion section	12	x							
			3		2 nd introductory group: Leopard section	20	x							
			4		3 & 4 th grps Buffalo and Elephant sections	27	x							
			5		Preparation: Rhino and Lion revisit		x							
			6		5 th group Rhino and Lion section	27	x							
			7		Preparation: Planning a venue		x							
			8		Meeting with office cleaners & networking		x							
			9		1st Workshop large experiential group	40	x	x	x					
			10		1st Steering group	10	x							
			11		Review and planning group	14	x	x	x					
	Assessm	Month 3	1		Workshop quantitative assessment	20	x		x					Reflexive Research (Phase III)
2				Lock down		x								
3				Workshop research ethics principles		x	x	x						
4				PRE-ASSESSMENT	48									
2.	Executive functioning Practice	Month 4	1		Preparation: chairs		x						Reflexive Research (Phase III)	
			2		Review and planning group	24	x							
			3		Workshop brainstorming CM needs	42	?		x					
			4		Workshops categorising & prioritising	29	?	x	x					
			5		Workshop SMART goals	39	?	x	x					
			6		Workshop SWOT analysys	38	x	x	x					
			7		Workshop planning	36	x		x					
			8		Problem-solving and review	41								
			9		Workshop facilitation skills	33								
			10		Planning 'pre-ethics' workshop	26								
			11		Workshop: Current knowledge on ethics	39	x	x	x					
			12		Reflection: exploring work models so far	32	x	x	x					
			13		Problem-solving + Fikile's visit	36	x	x	x					
			14		Ethical Positioning assessment	30	x							
			15		Problem Solving feedback	39	x	x						
			16		Problem Solving feedback continued	36		x	x					
			17		Real life ethics incident: analysis	31		x						
			18		Real life ethics incident: elderly feedback	30			x					
3.	Ethics Education	Month 5	1		Ethics Educt Introduction 1	42			x				Reflexive Research (Phase III)	
			2		Lock-down, visiting transfered lifers in alternative centre									
			3		Ethic Educ Introduction 2	41			x					
			4		Ubuntu Ethics + Pillar 1	43			x					
			5		Ubuntu Pillar 1 + feedback	40	x	x	x					
			6		Steering group	29								
			7		Ubuntu Pillar 2	36	x	x	x					
			8		Conference Presentation									
			9		Article: Ubuntu & Western Ethics	36		x	x					
			10		EPQ feedback	29	x		x					
			11		Ubuntu Pillar 3		x		x					
			12		Ubuntu Pillar 4	23			x					
			13		Preparation for Justice visit									
			14		Visit Adv Hlatshwayo	38			x					
			15		Reflection: A free community	35			x					
			16		Ethical application: Abortion	35		x	x					
			17		Certificate Ceremony				x					
			18		Post Certificate Reflection				x	x				

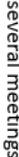
Table 4.1 (continued)

FOKUS	Intervention	Sessions	Date	ACTIVITY & COMMUNITY INVOLVEMENT	DATA				FOCUS PAR (Phase IV) Analysis (Phase V)	Reflexive	Action	Ethical	
					ATTENDANCE	Fieldnotes	Poster	Transcripts					Presenting
PAR (Phase IV)	Participatory Action Research Group meetings	1	M 8	Where do we go from here?	x	x				External	Internal sources	Diagram 5.3.a	
		2		The type of relapse program we want	x	x	1						
		3		How can we use this group?				33					
		4	Month 9	What are we going to do?	28	x	x	2		Them (versus) We	(& the possible) US	Diagram 5.3.b	
		5		Feedback from the Units	24	x	x	3		Emerging models		Diagram 5.3.c	
		6		Ubuntu as a central goal	24			4					
		7	Month 10	Units planning and group becoming	26	x	x			Bottom up ACTION	Ubuntu	Top down CONTEMPLATI	Diagram 5.3.d
		8		Answering Ubuntu brainstorm questions	24		x	5					
		9	Month 11	Feedback from Units	23		x						
		10		Pre-Family Day planning	20								
		11		No group: Family day									
		12	Month 11	Family day = Ubuntu Day	18	x	x	6					
		13	Month 12	Ubuntu in society	18	x	x	7					
		14		Ubuntu in life and death		x		8					
		15		Ubuntu and systems		x		9					
		16	Month 12	Preparing for philosophy Meeting with philosophers I				10					
		17	Month 13	Meeting with philosophers II				11					
		18		Meeting with philosophers III		x							
		19	Month 13	Crisis in the section	15								
		20		Concerns & elderly taking leadership	19			12					
		21	Month 14	Independent functioning	19			13					
		22		Group taking charge, transfers	19			14					
		23		Debate about drug concern	18			15					
		24	Month 14	Outside meetings for conference prep	20			16					
		25		Crisis: transfer of another elder (Az)*	17			17	*				
		26	Month 15	Ubuntu PAR group is born & elections	16	x							
		27	Month 16	Joint reflection substance abuse		x		18					
		28		Substance abuse training group with officials		x							
		29	Month 16	No lights. Preparing for post-assessment		x							
		30	Month 17	POST-ASSESSMENT	25								
		31		UNISA Pre-Conference Presentation									
		32	Month 17	6th IEEC									
		33	Month 18	Watching Video of presentations			x						
		34		Joint visit from Fikile and Philosopher									
		35	Month 18	Saying goodbye with officials as guest speakers		x							
		36				x							
		37					x						

Processing, analysis and interpretation of the data

Transformative Research

Table 4.1.1*Summary of Key Events*

Table 4.1 Key Event	When	Format in Landscape of Results	See section
1.  Two lifers changing centres	Phase III (reflection of Phase II) month 5 session 17 of executive functioning practise	Discussed as a product from the real-life project	5.1.2 Figure 5.1
2.  PAR group's messages to IAEE's 5 th International Conference of Ethics Education	Phase III (middle) month 6 session 8 of ethics education	Presented as a product from the real-life project	5.1.3.a Figure 5.2
3.  Feedback from Elders at Certification Ceremony and from post-certification ceremony group	Phase III month 7 sessions 17 & 18 of ethics education.	Discussed as a product from the real-life project	5.1.2
 Process over several meetings Discussions with philosophers	Phase IV months 12-13	Ethics and transformative community involvement presented as an outcome of the study.	Analysis: 4.5.2.2 Interpretation: 5.3.1 Table 5.4
4.  Crisis: transfer of another Elder: 'When Az was sent away'	Phase IV month 14 session 27	Ethical reasoning in crisis management presented an outcome of the study.	Analysis: 4.5.2.3 (ii) Figure 4.3 Interpretation: 5.3.3 Figures 5.5.a,b
5.  MB's presentation to IAEE's 6 th International Conference of Ethics Education	Phase IV month 17 session 34	Presented as a product from the real-life project	5.1.3.b Appendix 5.1
6.  DJ's presentation to IAEE's 6 th International Conference of Ethics Education	Phase IV month 17 session 34	Presented as a product from the real-life project	5.1.3.c Appendix 5.2

4.1 Phase I ETHICAL RESEARCH: How the Ethics of Working With a Vulnerable Group Changed a Research Design.

"You do not do research on communities you do it with them."
Denny et al. (2015, p. 297)

The study design was influenced by the methodological eclecticism and pluralism that are advocated for research designs in community psychology and criminology (Crewe, 2015; Roberts, 2002) and research in South Africa in particular (Barnes, 2012; Bhana & Kanjee, 2001). It commenced with a pragmatic (problem focussed) approach (Creswell, 2014): I wanted to do action research (McNiff & Whitehead, 2009; Parker, 2005) to explore and inform the application of a real-life intervention as a model for rehabilitation at the correctional centre where I worked. Initially a *multi-phase* design, as informed by the neuropsychological literature (see sections 2.2.2-3) would include three sequential sub-studies a) a prevalence survey of acquired brain injury (ABI) in the correctional centre where I worked; b) pre- and post-assessment of executive functioning following a real-life intervention and then c) a phenomenological outcome interview. Hereby, methodology was put in service of understanding 'what could work' in rehabilitation.

This section describes how a careful consideration of the relevant ethical issues contributed to the developed of a *qualitative research design with a concurrent transformative (mixed methods)* approach, in which quantitative methods became embedded (Brannen, 2007; Creswell et al., 2003; Johnson et al., 2007). Following from this the focus moved to the methodology being used in service of 'working with and for people who are incarcerated' – and learning from each other.

4.1.1 The Ethics of Vulnerability

Vulnerability as an integral element of the human condition has been recognised throughout human history (Ten Have, 2016). In modern times it was brought to the fore by the abuses that occurred during the Second World War, which in 1948 led to the formulation of the Universal Declaration of Human Rights, then adopted by 48 of the 56 members of the United Nations (May & Delston, 2016). In 2005 the Universal Declaration on Bioethics and Human Rights was adopted by the United Nations, Educational, Scientific and Cultural Organisation (UNESCO) which currently has 193 Member States (Ten Have & Jean, 2009).

Human rights are however not based on the factual aspect of human vulnerability - it is essentially the normative recognition that each individual has inherent **dignity** and worthiness (Andorno & Baffone, 2014). Research ethics ensures that research promotes the well-being, protection and human rights of participants (Amon et al., 2012; Roos et al., 2007). Because people who are incarcerated are a specifically vulnerable group of potential research participants, they are often excluded from research - arguably to their detriment (Charles et al., 2014; Gostin et al., 2007). Their vulnerability is mainly attributed to confinement's effect on voluntary participation. This has been addressed by the South African Department of Health providing specific research guidelines: Research can only be done with people who are incarcerated if their participation is indispensable to the research; if it cannot be conducted with non-incarcerated people; if the problem is of direct relevance to people who are incarcerated; and if engagement with relevant role players about the proposed research had occurred (Department of Health, 2015). In terms of an employee of DCS exploring an integrated model for rehabilitation – the initial conception of this study fulfilled the requirements for ethical clearance – except for the engagement with the DCS REC. This last requirement forced the study design to not 'manage' vulnerability, but to consciously engage with it.

Moore and Miller (1999) refer to “**double vulnerability**” - pointing out that, apart from the context of confinement, the autonomy of vulnerable groups is further impacted by an interplay of a multitude of conditions. This includes an interaction of conditions that are internal (individual sensitivity and the ability to adapt) and external (exposure) (Ten Have, 2016). Particularly in Africa, social science researchers are called upon to consider the impact of the macro context exacerbating exclusion (Prinsloo et al., 2019). The title of this section refers to a conference paper in which I described how the ethics of vulnerability shifted my engagement with research ethics from ticking boxes in order to ensure that no harm is done *to* whom we are doing research with, to re-focussing on the *way* research is being done *with* people: addressing, empowering, benefiting and developing individuals and society. Given the overt power differential between the uniformed researcher and the incarcerated participants' positions, the principles of dignity and autonomy had to be kept in mind throughout the study. This chapter describes how a transformative paradigm informed the methodological strategies to address **respect** for the dignity and the autonomy of the participants in a continuous and pragmatic way.

4.1.1.1 Informed Consent as a Process

Gostin et al. (2007) state that informed consent, respecting people's **autonomy** for decision making, is the foundation of ethical research. Because the loss of freedom and intimidating corrections contexts atrophy people's autonomy, recruitment processes need to be sound. Participants should be enabled to volunteer their informed consent without coercion, undue influence or indirect pressure from their environment (Charles et al., 2014). Completing a written consent form (which documents what communication has taken place before the participants deciding to enrol) can only be one part of this process. Informed consent should be interactive and ongoing, thus ensuring the voluntariness of participation throughout all aspects of the research. This involves understanding of the uncertainty of potential benefits as well as the level and nature of the risks (Gostin et al., 2007). The following sections will describe how the current study approached consent through multiple phases as an ongoing and repeated process which used various modalities (meetings, documentation, posters) and strategies (open group discussions, PAR, responsiveness), thereby maximising choice and control.

4.1.1.2 Addressing the Disempowered Status of the Potential Research Participants.

As a **participatory action approach's** inclusive creation of knowledge is fundamentally empowering (Esterberg, 2002), it was utilised to change the research design. Informed by a Freirean method which invited participants to "think differently and particularly critically about the causes of the negative conditions that prevail in the community" (Kelly & Van der Riet, 2001, p. 183) an awareness and intervention could be created to address the impact of neuropsychological factors and social exclusion. Instead of applying a survey *to* people, potential participants would be invited to contribute to designing, administering, analysing and interpreting an ABI survey. Developing a survey through PAR would itself become the real-life project to foster executive functioning and social inclusion. This study would thus not only utilise PAR as a method, but also as an intervention to be evaluated. Quantitative psychometric assessments were to be used to explore changes in terms of a) activities that are associated with executive functioning and b) community involvement processes of outreach from offenders and in-reach from representatives of the community. Working from a PAR approach illuminates how the other research ethics issues could be addressed.

4.1.1.3 Maximising the Participants' Restricted Autonomy

a) **Introducing the research agenda to cell monitors as potential participants:** As democratically elected members of the incarcerated population, cell monitors (CMs) are well positioned to think about the relevance of information and the most ethical ways of obtaining such information. Furthermore, their involvement would allow for sufficient continuity in the application of their skills in order to impact on executive functions and desistance in a sustainable way.

b) **Engagement in information sharing:** Providing information would be an important pre-requisite to ensure persons' autonomy in a participatory process. It required considering *what* information needed to be available and *how* the information was being made available. An initial participatory information giving period to CMs preceded the study. This focussed on participants' rights, the meaning of voluntary informed consent and the study design and procedures. The process of how the information sharing could best be done was also considered. It was to give people choices about where they wanted to focus their attention (by making clear what could be expected in each meeting) and not to be overwhelming.

Accessibility to information was maximised by -

- i. Establishing a translation group to provide an extra dimension to the real-life project, not only of an expert member from the community to be engaged to facilitate thinking about translation, but also to explore potential for sustainability. The important need for information in vernacular languages could be addressed and work experience and exposure to potential career opportunities could be provided (demonstrating the organic nature of such projects).
- ii. Making detailed *Information Booklets* available as a term of reference which was supported by an *Invitation and Summary Leaflet* that gave a briefer account of the study (see **Appendix 4.1**).
- iii. Sharing information by combining semi-structured interactional group sessions with reflective education, instead of one-directional training.

- iv. Establishing continuous critical review through a *Community Peer Review Committee* who could monitor the autonomy and accessibility of the processes (but also see section 4.2.2.2.b).

- c) **Maximising decision-making:** The *semi-structured group discussions* (see Figure 4.1) of the PAR process would allow participants to freely share their thoughts, opinions, feelings, experiences and suggestion according to the agenda which would have been agreed upon by the group. This did not only involve the choice of voluntary involvement, but also choosing the level of involvement, flexibility about involvement and choices about receiving feedback. This variability in participation could potentially also function as an internal control for the intervention.

4.1.1.4 Ensuring Anonymity, Privacy and Confidentiality

Parker (2005) highlights that issues about privacy and confidentiality should be openly discussed with participants, letting them decide how their voices - speaking for themselves - will be represented in the data (see section 4.2.2.2.b).

The *semi-structured group* discussion through which the participatory action was conducted, implied an inherent limitation to anonymity. Most inmates are accustomed to participating in groups and setting group rules of confidentiality. This is generally prescribed by their participation in corrections and social work groups. They could therefore be expected to be quite familiar with managing the limitations which group participation imposes on anonymity and confidentiality.

Given that the assessments would be linked with individuals' level of involvement in the study, anonymity in this regard was achieved by involving the participants in choosing identification numbers which only I had access to. My supervisor and I had access to the anonymous raw data which is locked away in a cabinet and saved on a password-protected computer. Future use of the stored data will be subject to further research ethics review and approval if applicable. After a five-year period, the data will be permanently destroyed.

4.1.1.5 Justice and Fairness in Terms of the Potential Benefits and Risks

A Kenyan study (Kamuya et al., 2014) highlights the *centrality of benefits* in negotiating for research participation with vulnerable groups. They propose utilising field workers from the community to facilitate community engagement in reaching mutual

understanding of benefits and limitations. In this regard the democratically elected cell-cleaners appeared to be best placed to not only assist with developing the survey but also with implementing it. The direct benefits of the study were clearly stipulated in the *Information Booklet*. As certificates were given to acknowledge the nature of their participation, potential coercion was managed stressing that these certificates were not recognised for any additional parole-related or incarceration-related benefits.

As the real-life project required a course on research ethics, participants who chose to complete the *Research Ethics Advisor Training* could receive a *Research Ethics Community Advisor* certificate, which would potentially enable them to apply for acting as a community representative, representing incarcerated and ex-offenders on Research Ethics Committees. Participants who may have been interested to become involved in this aspect of the study, would have been reminded of the scarcity of this need so as to not create strong expectations. Although this option had to be altered significantly (see section 4.1.1.6) it also further demonstrates the organic nature and potential sustainability that can be imbedded in real-life projects.

A South African study (Denny et al., 2015) highlighted that making results available to the participants demonstrates **respect**. The participatory action of the current study, would allow for the sharing of results to be an ongoing process. Although the study had aimed to involve participants in the analysis of the anonymised data, the translating of the findings and providing feedback – this was limited significantly in how the final research design played out (see section 4.1.1.6). The sharing of both the study's results and its benefits, remains an ongoing project, even at the time of writing this thesis.

Justice requires more than research not causing harm. Gostin et al. (2007) state that in the corrections environment the researcher also needs to keep the potential harm of everyday incarcerated life in mind at all time. Ethical research needs to be done in a context that is humane and dignified and that provides reasonable access to supportive care. Considerable space is devoted below to describing how the current study had managed the environment (see section 4.2). The *Information Booklet* clearly stipulates benefit and harm issues and indicates that, should participation in the study cause any discomfort or problem for individuals, they would be offered psychological and social support by caring staff other than the researcher. This message was also given verbally. Although no direct harm was

foreseen when the study commenced, a deliberate effort was made to minimize potential harms (but see section 6.3.2). Given the strain which field workers may experience (Kamuya et al., 2014), as well as the important implication which developing executive functioning abilities may have on awareness, sufficient time was to be given for the CMs to reflect on the challenging and rewarding aspects of their role (see Chapter 5). A mindfulness exercise was also introduced (see section 5.4.3).

4.1.1.6 Managing the Complexity of the Correctional Setting

The ethics of collaborative responsibility include the active participation of offenders, correctional officers and administrators as much as possible in all aspects of the investigation (Gostin et al., 2007). The development of the design was based on four years of work experience in a correctional centre. I had relatively easy access to the various stakeholders who gave their input and feedback to the developing proposal. This position of insider could however blind the investigator to ethical issues arising from the study. Therefore, regular supervision meetings were planned with my promotor to not compromise the non-exploitative, participatory and empowering nature of the study. He had been a co-traveller of this journey from its onset. He encouraged its seeding, shaped the development and enabled the study's fruition. When my experience of the work demands caused me to want to discontinue the proposal, he motivated me to start. When important actions were required, he unwaveringly stepped in (see sections 4.2.1.1.c.ii & 4.2.2.3 Chairs). My life partner, Braam Hoffmann, and the community representative, Fikile Mnisi, played significant roles as critical and illuminating soundboards throughout the process.

The consideration of the above ethical issues thus developed the initial *Concurrent Transformative Research Design* (Creswell, 2014) (see **Figure 4.1**), which received ethical clearance from UNISA REC (see **Appendix 4.2**). The qualitative and quantitative measurements were to be used simultaneously before and after a real-life project that involved CMs (the development of a survey to measure ABI prevalence in order to inform service development in our centre) with qualitative longitudinal follow-up.

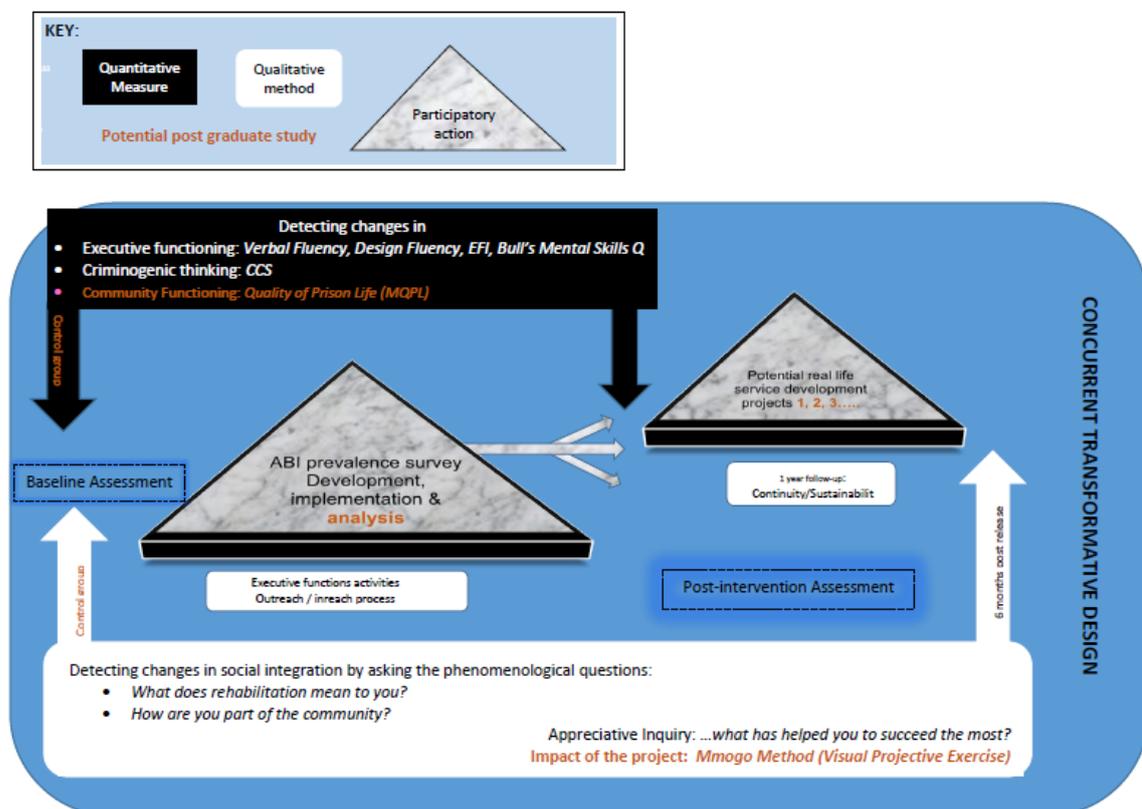
The research proposal containing the design below (Figure 4.1) was in principle accepted by the DCS REC. However, the DCS REC specified three conditions:

- that the study could not be done in the Management Area where I was employed;
- I had to explain how I would “guard against study manipulation by offenders”; and
- clarify how the CMs would assess ABI prevalence in the incarcerated population.

The processing of the DCS REC’s conditions forced me to process the complexity of research in correctional services. The DCS REC accepted my response to the last two conditions. For the first condition I provided an ethical justification for doing the study in my own place of work. The relevant risks were identified and addressed and an argument was made for how the benefits outweighed the risks.

Figure 4.1

Proposed Research Design



When this was not accepted, I appealed the REC's condition that the study had to be done in a different Management Area on the basis of my professional, methodological and ethical considerations (see **Appendix 4.3**). This appeal failed because of the DCS policy that employees are not allowed to do research in their place of work.

The suggested proposal had been specifically developed for my work base and particular role as a clinical psychologist. It relied on the relationships and infrastructure which had been developed there. It would not be feasible to conduct the research and implement the intense intervention as a part-time outsider researcher (as opposed to a clinician) in another setting. Although the proposal itself had been accepted, the implementation of the study in a different context had to be re-imagined:

a) **Community representation** could not be planned beforehand. It had to unfold as the study unfolded.

b) **The real-life project** could not be prescribed, but had to be discovered in a participatory way. Based on my experience of the projects in my correctional centre, the themes of these projects were already coined by a few initiators who brought interested parties together, a group was developed and their sense of community made the project possible. This study had to follow a different course. I would first have to engage with a community, from which a group could develop to then define a project. Opportunities for choice and control could not be defined beforehand (in terms of participants' involvement and roles) – it had to become the process itself.

c) **The pre and post assessments of executive functioning** were the only aspects of the proposal which did not alter. Addressing executive functioning would be built into the study by a) increasing awareness by means of psycho education, b) finding process relevant exercises to do c) identifying and analysing the use and development of executive functioning abilities.

d) **It was harder to focus on long-term follow-up and sustainability.** The study was about the participants' project which they needed to develop with goals that were feasible for them to reach independently.

The new proposal which suggested that the study was going to be done in an alternative management area received ethical clearance from the DCS Research Ethics Committee (see **Appendix 4.4**).

4.1.2 The Ethics of Ubuntu

Ubuntu, being interlinked with African beliefs, customs, traditions and religions, refers to moral values as well as an ethical framework. “Therefore, to an extent, if one would practise Ubuntu, they would become a person who is moral” (Mnisi, 2020, p. 93). Ubuntu is an African-communitarian ethic (Metz, 2015; Metz & Gaie, 2010). It can be associated with indigenous worldviews from sustainable societies where respect for others’ dignity, disallows coercion and expects both autonomy and communalism. These societies acknowledge the role of social support in shaping human personality and behaviour (Narvaez, 2020). Ubuntu involves “the wholeness of the individual and them becoming one, this will be through a connection with the past (ancestors), present (including their environment, surroundings and community) and future (continuation of human kind and environment as well as the community’s well-being). This is not just about an individual, however also about their morals, customs, beliefs, culture and religion which brings that wholeness and one-ness” (Minisi, 2017, p. 9). Ubuntu, as African morality, as a practical ethic which promotes social cohesion (Hlongwane et al., 2018), is therefore relevant to address executive functioning, social inclusion and transformation with persons who are incarcerated. Working with Ubuntu not only as an ethic, but also as moral values, could immediately translate to the self, teaching “how to act and be” (Mnisi, 2017, p. 13). **Figure 4.2** provides the ‘four pillars’ of the moral values of Ubuntu. As Ubuntu ethics gradually became more important to this study, so did our ethical understanding evolve. The following research phases will describe our active socio-cultural engagement with ethical issues on a number of levels.

4.1.3 The Neuropsychology of Ethical Functioning

The data analysis revealed a consistent emergence of ethical functioning’s neuropsychological building-blocks. In this study, the PAR group’s community interaction and their management of a crisis revealed ethical functioning as an innate and intuitive process. Triune Ethics Theory (TET) (Narvaez, 2008; 2012) provided a comprehensive

Figure 4.2*The Moral Values of Ubuntu Ethics*

Note: From “How respect made me survive prison – the application of ethics education” by J. Davies, 2018, **Presentation at the 6th International Association of Ethics in Education (IAEE)**. Used with permission of the author.

framework with which these results could be interpreted (see Chapter 6.1.1). The finalizing of the rehabilitation model, changed my positioning of executive functioning and appreciation of ethics in the desistance process. I developed a neuropsychological understanding of an existential human characteristic which involves our brain more holistically and integrates our humanity. Not only has ethics shaped how this inquiry was conducted, it also transformed a model for rehabilitation. By becoming the model’s central mechanism (see Chapter 6.2.1) it redirected the focus to society’s inherent role in the creation of executive functioning abilities and ethical functioning through inclusion.

4.1.4 Reflections in Phase I

The original proposal involved a clearly structured and organised plan. It was to be implemented in collaboration with participants, responding to their feedback and managing the awareness of ethical issues throughout the process. The condition set by the DCS REC’s forced the study to be conducted in a new, relatively unknown context. Although I would still externally be defined by a uniform and rank, I was going to be more of an outsider, a

researcher, a novelty in that context. Entering a new Management Area as a stranger, would require the establishment of new relationships, a new infrastructure. A new learning would be required about what was needed and possible in that setting. As this is a community which I would also be required to exit, a project was to be initiated that could be relevant and sustainable for that community.

I had to re-imagine a study that would depend on what was meaningful for that community and collaborate with the participants to conceive its purpose and goal. It compelled me to test a 'purer form' of participation and to position the PAR principles more fully within the transformative paradigm. As this process assisted me to start internalising the transformative paradigm more the study was also shifting away from its 'deficit-based' problem-focussed content (ABI in corrections populations). Instead, my thinking about the study started to link with Ten Have's (2016) proposal of 'anthropological vulnerability' – accepting the inherent condition of vulnerability as a potential strength which can develop interdependence and sense of community and "an opportunity for transformation" (p. 16). Thus, the transformative philosophy became the central driver of the study.

As the revised study unfolded it became clear that this was closer to real life and how I had initially observed real-life projects starting (see Appendix 1.1). My concept of research ethics gradually developed from being implicitly associated with the checks and balances for ethics committees – to re-discovering ethics as the whole purpose of research, as a process, and a way of being. Having to think about the influence of imprisonment on persons participating in a research study, stimulated me to think more critically about the influence of imprisonment on persons whom have to participate in community re-integration. I had to think more about the issues of dignity and respect, of freedom, of decision making, of choice, of the ability to influence, to change or not to, of deriving benefit in research as well as in my clinical work and in everyday life. I started questioning why society does not address the illogic of how the extreme exclusion of incarceration can prepare a person to functioning successfully in the society they had been excluded from. It reinforced my notion of finding ways to expose individuals from society to working with persons who are incarcerated.

Developing the research methodology in a responsive way, meant being sensitive to how individual experiences gave a micro-sample of the new context and reality, suggesting how best to move forward. The following two sections are reported in a coherent,

chronological order as if they were planned and well thought through. However, it should be noted that in reality each step was mostly informed by what had gone before. Rather than 'taking steps' this was more like 'shuffling'.

4.2 Phase II ACTION RESEARCH: Collaboration Between Different Players

No action without research; no research without action.
Lewin cited in Adelman (1997, p. 8)

The research becoming action happened thanks to different enabling roles which various actors played at different moments in time. Although this was a continuous process, sustained throughout the study, the establishing and mapping of these relationships mostly occurred during the engagement and assessment in Phase II.

Contextualisation is one of the most important contributions which the qualitative aspect brings into mixed-methods approaches (Devers & Frankel, 2000). Moving from the outside-in, I describe the dynamic *real-world* contexts. First, I outline the relevant community players and their roles throughout the study. In my attempt to acknowledge the intimate connection between the participation and the context, I then describe the corrections environment and the process of introducing the study to the correctional centre and of ethically developing the PAR study framework. After the quantitative pre-assessment is reported, the participants are then introduced and described and the section is concluded with reflections.

During Phase II detailed fieldnotes were kept which were elaborated upon with my questions, thoughts and reflections. This was later supplemented with the participants' posters and the re-listening of recorded sessions. Reflection, as an important aspect of action research, neuropsychological rehabilitation and community psychology, was additionally used as a method of data collection (e.g., when making fieldnotes, reading literature, planning and writing and in discussion with the group) (Fisher & Pelps, 2006; McIntosh, 2010; Wykes & Reeder, 2005). The reflections were revisited and further commented upon at different times as the study progressed. For the writing of this section, I re-read the study portfolio that had developed and grouped my initial reflections into themes. In responsive action research the generation of results is ongoing and reciprocally

interwoven with the research process (Chevalier & Buckles, 2013). This section will thus both narrate and reflect on the procedures and their outcomes in an integrated way.

4.2.1 Negotiating Entry Into the Research Setting

By its nature, the study had to try to have two research settings: the community and the correctional centre. Managing the ethical themes required the entry and engagement with the research settings to occurred over a significant period of time. This process involved four main dimensions:

1. Engagement with the community representatives from *outside* who we *brought into* the correctional setting throughout the different phases (see entries on Table 4.1 coloured dark green with white font & section 4.2.1.1);
2. introducing the research study working through the correctional hierarchy according to policy and the infrastructure of the Management Area (see section 4.2.1.2.a);
3. getting to know the centre and building adequate relationships with the various role players (see section 4.2.1.2.b-c);
4. educating the potential participants about the research study so that they could make informed and empowered choices about their participation (see section 4.2.2).

4.2.1.1 Community Representatives

Initially, how the concept *community* would materialise was vague - it solely depended on the nature of the real-life project. In its conception it had to include exemplary representatives from the community who were relevant to be brought into study to engage in a meaningful process with the participants which could (at least theoretically) be sustainable. This happened on various levels.

a) Bio-ethicist, Fikile Mnisi (Phase I onwards). The original research design required research ethics education. My partner suggested Fikile Mnisi, a tutor of a university-based research ethics course. She expressed an interested to work with incarcerated people and was keen to think about ethics education in a correctional centre. Her involvement would eventually become central to this study's focus on ethics. We spent time together meeting at her workplace and in town to get to know each other and share

our thoughts about our society. This was the start of the PAR work and I kept reflexive fieldnotes of these meetings. As our discussions became more real and more personal, I was translating them more into decisions, actions and my own learning.

Fikile introduced the idea of Ubuntu Ethics as being more relevant to the participants and being able to incorporate other ethics principles. She had come across an applied model for ethics teaching, which she thought would best resonate with the pragmatism of Ubuntu (Mnisi, 2020). This also fitted in with the CRT model for developing executive functioning through reflective practice. As we discussed and explored the study and connected with each other, I came to understand the study. The links between ethics and executive functioning, practicing and rehabilitation, the community's voice and inclusion began itself to form a triangulation for the model I was envisaging. I gradually introduced Fikile to the DCS environment and she utilised a window period between jobs to do the ethics education. We would meet in her car outside the centre's main gate to go over the plan for each session. I would often have already been in to get a sense of context of the day. Following each session, we debriefed and planned over lunch.

Fikile refers to herself as a Swati woman. Her impact on the group can best be attributed to what seemed to be her natural predisposition as 'betweenner' (Diversi & Moreira 2009). Like Diversi and Moreira, she claimed this position. She consciously reflected on her "experiencing life in and between two cultures" (p. 19). Her language would acknowledge both her sameness and her difference to the group. The development of my Ubuntu understanding assisted me to later understand how the priority of sameness, allowed the difference also to be owned by the group (e.g., they proudly acknowledged her achievement of her Ph.D). Diversi and Moreira describe betweenners as taking in a state of in-betweenness where they can "manage multiple worlds at the same time and be facilitators of (such) transition (p. 25)". Fikile utilised her socio-cultural background and experiences as a rich resource and this appeared to give her the legitimacy to confront the group with their own positioning and internalised hegemony (including that of culture and gender).

Fikile also gradually formed part of the group as a fellow traveller in 'becoming-Ubuntu' (see section 4.3.3 Ubuntu Ethics Education). Stories were directly interwoven when Fikile and some of the participants presented their papers together at a conference (see section 4.2.1.1.c.ii). She later independently published a paper on her work (Mnisi, 2020).

Her involvement with the individuals was sustained on an interpersonal (linking released offenders with community resources) and emotional (wanting to write a paper on the ethical issues of incarceration and COVID) levels after the study.

b) Department of Justice, Adv Hlatshwayo (Phase III): The Ubuntu Ethics education exploration of the difference between the Law, Morals and Ethics (see 4.3.3 Interactive presentations) provided an ideal opportunity to invite a representative from the Department of Justice. Fikile utilised her family connection with Adv Hlatshwayo, a senior prosecutor, to meet with the group. The event was organised within one of the units which had a good reputation and easy access, so as to open it up to other persons who wanted to attend. Adv Hlatshwayo prepared a formal presentation which included Western, African and Human Rights law. He went into dialogue with the group answering their questions on topics covering a broad area from the International Criminal Court (ICC), to his role as prosecutor, the terminology being used in court, home affairs issues, and the impact of criminal records. The advocate had shown respect and dignity in the way he was responsive to the group, how he validated their questions and opinions, being sincerely honest in his answers and also acknowledging the imperfection of the justice process. He explained how he took the imperfection of this reality seriously and managed it with responsibility. The participants tested issues that were of personal relevance to them against a 'law/justice soundboard', which responded back in a way that kept them engaged, pulled them in more and facilitated a sense of meaning-making. On this platform a process occurred which involved persons' personal issues (citizenship) and experiences (being confused on the witness stand), their knowledge (rights in court) and gaps therein (rights in incarceration; expungement of a criminal record), their values (access to respect and dignity) their interaction with the national and global world (imbalance of ICC not putting rich Western leaders on trial) and practicing communication and reasoning.

The discussion with Adv Hlatshwayo assisted the participants to process some of the issues and ideas that had been raised in the Ubuntu Ethics education -

- The group's focus on re-positioning African and Western culture towards a more just influence was translated into their concerns about African versus Western laws. Adv Hlatshwayo explained the efforts since 1994 to develop a relationship between African Customary/ Indigenous Law and Western Laws and gave practical examples (e.g.,

Recognition of Customary marriage and its multiple implications). He acknowledged that society currently is not doing enough to process how culture continues to evolve. Utilising current cases, he gave some indication about what could be possible if there was more political will to do so (e.g., Constitutional court losing a ‘golden opportunity’ to address an issue of customary law and civil law). He clarified the complex structure that underlies legal labels, and how these are not used in an arbitrary or irresponsible way (e.g., bail and the meaning of ‘common purpose’).

- He also provided the group with another angle for thinking about Ubuntu – shifting to universality of human rights and focussing on the human rights of offenders. Quoting former President Mandela, he referred to the relationship between races. He put the focus on the community’s responsibility – that both love and hate are learned, taught.

A more holistic sense of persons who are incarcerated could be shared with a resourceful and authentic person representing a part of the community. Together they experienced that getting together and sharing (as opposed to excluding) *“is a success”*¹.

The adv stated: *“I think it is very important that we should interact with you ...especially on the side of us...”* He has learned about their perceptions which he wanted to address by informing his colleagues. *“There shouldn’t be perceptions about you, there shouldn’t be perceptions about us.”* Instead of being excluded, it would be possible for someone to be found guilty and to feel that the process was fair. The meeting ended with *“more is needed”* – the opposite of exclusion: i.e., dialogue, sharing information, addressing perceptions.

On reflection, participants fed back that this meeting had improved their understanding of personal issues, the constitution and human rights. It was of significant value to many participants that an official person acknowledged that justice and the courts

¹ Because *giving voice* to the participants is an important aspect of this study, their quotes are meant to *speak* from and through the thesis using an italics format and different font (Times New Roman). Quotes from the fieldnotes are also given in italics. Quotes from literature are provided according to APA 7th edition requirements.

were mere systems and imperfect ones at that. This was meaningful as it confirmed their humanity and that the procedures were *“nothing personal, he admitted that they do have faults, the court have faults now and then; but it is not that they hate us, and they are just doing their job”*. It seemed to assist some persons to take responsibility for their role in the procedures *“because of facing consequences of our actions”*. It also empowered the participants to understand their right to human treatment by DCS staff and that they had a voice to continue asking questions and to suggest ideas of how the system may be improved:

“I feel that prosecutors should be more aware of the prison system’s workings first hand by making regular visits and interactions with inmates. My suggestion is that prosecutors should apply a more subjective criteria to offenders if they are more familiar with where they are sending those offenders. Remember, the purpose of sanction is to punish and rehabilitate. Some offenders and crimes may need more punishment and less rehabilitation and some may need less punishment but more rehabilitation.”

Other suggestions included the education of both DCS staff and the community on rehabilitation and human rights:

“They think all your rights have been taken away from you the minute you come into jail. So, I felt we needed a bridge between you understanding our rights, them understanding your rights, so that we can all treat each other with dignity and respect. Because Human Rights is a big thing. If you violate someone else's right you are not just violating their rights you are violating yourself.”

There was also an appreciation that achieving a balance between African and Western frameworks is hard as many issues need to be unpacked: *“There are things that when they suit us, we go with them, when they don’t suit us, we don’t go with them. And there are questions that we don’t ask.”*

Seeding point*: Engaging with the Department of Justice

(*As previously mentioned, (see section 1.3) *seeding points* refer to events indicating a potential theme/possibility which could have been followed to give further direction to the study e.g. opportunities for involving members of the community.)

I think if we can continue this issue of debate, not necessarily me, but these departments Correctional Services, NPA – if we can have this interaction on a continuous basis, I think we will create a better society out there. (Adv Hlatswayo)

Please come prepared. You will get very difficult questions, that will build you too. If you listen to them carefully and take them seriously, they will build you and your colleagues.
(Elder’s message to Department of Justice)

(Is) it possible to organize somebody to school us about our own African ways of African Law?
(Contribution to group reflection)

c) Academic Community.

i) Academic Authors (Phase III, KEY: Table 4.1 month 6/9,10). Initially the study group intensively debated whether Ubuntu was a concept which was inherent to African culture. Many participants reasoned that Ubuntu was universal, with different cultures merely using different terminology. Sensing that they required evidence to acknowledge the uniqueness of Sub-Saharan African ethics we gave the group abstracts and some copies of Wareham's (2017) article *A duty to explore African ethics?* This resulted in an unexpected response. People were not intimidated by the philosophical and academic language. The paper was read and discussed outside of the group. One member summarised it and presented the paper to everyone. Instead of questioning the 'Africaness' of Ubuntu, the focus had shifted to the Western authors not fully capturing the concept and wanting to participate in the discourse.

"It is our duty to challenge the academics to teach them what is Ubuntu – so they can understand. So that when they write, they write on something that they think they know, while they don't know. If they could come down to us and then we will teach them and then they will write something better."

From their position of expertise, the participants automatically spoke as equals. It would have been ideal and in theory possible, to realise their request to meet with the author. Through Fikile, another author on African ethics, Kevin Behrens (e.g., see Behrens 2017, 2018) expressed a keen interest in visiting and meeting with the participants. It is a great pity that the limitations of the research and its forced termination did not allow for this. The energy of this engagement opened up more potential for bringing exemplary representatives from the community *inside* which could be just as real.

Seeding point: Facilitating meaningful dialogue between authors and inmates

"My reason for inviting him is, he is an academic...it would have been good for this Christopher guy to come to the ground and understand the feeling of the people on the ground...where ordinary people live – this is where you are going to find the core of Ubuntu."

(Elder)

ii) Conference Attendees (Phases III & IV). As the study progressed, I became aware of an upcoming international conference on ethics education (**the 5th International Conference on Ethics Education, ICEE**, to be held in Mangalore, India) and thought it might be an opportunity to do a presentation about our Ubuntu Ethics education initiative. In discussing this with participants it became clear that the presentation should not simply tell the story of the initiative, but should somehow relay the participants' voices, presence and expertise more directly to conference attendees. Given that there was no practical means for participants to leave the correctional centre and travel with me to India, it was decided that they, as experts with direct experience of ethics education, would write down what they thought academics should know and that I would take this with me to the conference (see Figure 5.2). This was enhanced by using accessible DCS photos to accompany the presentation. The participants' ownership of this 'inside-out' project was demonstrated by the handmade card they presented before I left. This card was repeatedly photographed as it accompanied me on the journey and made the PAR group more present to the audience (see **snapshot 1**). Sharing the presentation and photos with the group reinforced their sense of participating in a process beyond the incarceration walls. As I repeated the presentation to the group, they also heard me inviting the audience to the next ICEE conference (which would be hosted in South-Africa) to hear about the outcome of our study. Thus, this became a living story, with a past, a present, and a future.

Fikile was on the organising committee of the **6th ICEE in Stellenbosch** and was planning to submit an abstract about Ubuntu Education in a correctional centre (see **snapshot 2**). When we heard that one of the participants had received a release date – Fikile suggested the idea of this participant (MB) presenting a paper at the conference. He would have been most suited to the task as he had been a central person from the onset of the study and had a post-graduate qualification in community development. Because of his exceptional language skills, MB had been doing the translation of the transcribed recordings. Shortly after imagining this possibility, DJ, who was





one of the presenters at the certificate ceremony (see Table 4.3 row 8) also received a release date. In his presentation, DJ had already demonstrated his clear thinking and outstanding oratory skills. There was no reason why both MB and DJ could not submit abstracts and personally present their papers. They were both eager to try and I assisted by providing them with the

conference's requirements for an abstract and an example abstract. We reviewed their first drafts according to academic standards and these were accepted by an independent international panel. Thus, by Fikile and the two participants reaching out together, the potential was created for 'bringing' another international audience of academics into the correctional centre.

The ethical issues of this had to be managed, which I am conscious of, even now with the writing of the thesis. Fikile and I tried to ensure that MB and DJ remained at the centre of the process. It was important to acknowledge their vulnerability in this regard, and to assist to ensure that they would be sufficiently equipped. We met (at our homes, shopping centres and in the library), to think about their papers and to make travel arrangements. I got to know their support systems. Documentation was prepared to get permission from parole officers. In order for MB and DJ to get a sense of presenting in a formal community context and to build self-confidence to do so, prior exposure was organised. Through my supervisor the *Inside-out Outside-In* community engagement project at Unisa (also see section 4.2.2.3 Chairs) was approached. Inside-out Outside-in is an inter-disciplinary special interest group in South African Corrections. It was started by staff and students at the Department of Psychology at Unisa. They facilitate processes to engage 'outside' society with the persons 'inside' corrections environments. Inside-out Outside-in organised a multi-disciplinary academic panel to listen to student papers that were going to be presented at conferences in the second half of the year. Both MB's and DJ's support systems formed part of the audience who listened to them presenting alongside other researchers. The feedback acknowledged their participation as fellow knowledge creators. It recognised their African

Snapshot 3: 6th IEEC Fikile breaks the ice.



de-colonised approach and how they created knowledge from an experiential level (see **Appendix 4.5** for an extract from the feedback provided on MB's practice presentation).

At the 6th ICCE, two months later, MB and DJ attended, interacted with and presented to the international conference community as fellow participants (see **snapshot 3**). They were confident of their role, attending the conference as experts, being the only voices there speaking from the perspective of persons on the receiving side of ethics education. The conference's theme 'A long walk to ethics education' was also linked to President Nelson Mandela's experience of incarceration. Discussions continued, amongst community members themselves and with us. MB and DJ's recorded presentations were shared with the group at the correctional centre as the study concluded.

iii) Philosophers (Phase IV, KEY: Table 4.1 months 12,13). The involvement of a University Philosophy Department in the study is an example of a 'seeding point' which had indeed 'germinated'. The idea was triggered by a 'Socratic questioning workshop' (see Table 4.2 row 10 Facilitation skills). The participants were

intrigued by Socrates and curious about philosophy which seemed to resonate with them. Consequently, I reached out to a professor in philosophy whom I knew at a nearby university. He answered my email with interest and we considered previous philosophy work that had been done in correctional centres, which was shared with the group (Szifris, 2018; Weinberg, 2015). We met at the university a few times and thought about how joint working could be possible. Eventually, three post-graduate students whose research involved Ubuntu, incarceration and justice, became interested in accompanying him (see **snapshot 4**). The four philosophers who attended the first meeting were a diverse group (in terms of gender, age, qualifications, race and nationality). Although the professor and one PhD

student made several follow-up visits, the other philosophers were often referred to and in a sense the dialogue with them continued despite their physical absence. As this contact occurred in Phase IV, this process was analysed and the results served as an outcome of the community inclusion aspect (see section 5.3.1). This informed the integrated rehabilitation model.

4.2.1.2 Getting to Know the Centre and Building a Relationship Infrastructure (Mainly Phase II, but also ongoing in Phases III and IV)

Successful participation requires a long-term effort to develop relationships with the different stakeholders within the community in which they operate (Hailey, 2001). I made a deliberate effort to take time to continue building relationships with the staff and to get to know the correctional centre. The following section aims to give a general sense of the correctional centre system in terms of service, various role players and day-to-day functioning as it impacted the study development. I tried to not only give context here as the background or platform onto which the study was staged, but rather as an active player with which the negotiation and collaboration was ongoing, and the influence, thus, reciprocal. Each correctional centre has its own historic character and dynamic atmosphere of which limited information is provided here to respect confidentiality. The environmental context in which the participatory actions of this study occurred is outlined here in terms of the social relationship with staff (the hierarchy), its physical spaces (the venues) and the social activities (the routines).

a) The Hierarchy. Entering a secure system has to be done through its protocol. It is best not to initiate this, but to work alongside the legitimate gatekeeper who establishes the study's validity (Trulson et al., 2004). One is introduced according to the hierarchy, of which there are both a formal and a 'practical' one. The availability of persons in the formal hierarchy can be limited. On reflection, it may have been time well spent not to have given

Snapshot 4: Extract from the philosophy professor's email to three students, planning their visit

“The group of prisoners involved in Ms Prinsloo's research project have started discussions on 'Being a Citizen', linking it to their interest in Ubuntu ethics.

The prisoners decided they would like to structure our meeting as follows:

- They want to introduce themselves and their group to us;
- They want to share ideas about Philosophy;
- They want to listen to your research [briefly!] as examples of what philosophers do & discuss your work with you;
- They want to talk about the value of philosophy for prisoners, with reference to the project in the UK [see the attached document. I have also attached a few other news stories about prisons that might interest you.]”

up on getting opportunities to be introduced to these individuals. To validate the study and my continued presence, it was important to get a few tours of the correctional centre by the most senior official who was free to do this. Even then, I did not meet all the relevant role players. It would have been ideal if I had made a point to find them later. The following stakeholders are the people from the practical hierarchy I was gradually introduced to and whose assistance made the project possible. Each contact was an investment in the action research process:

Internal Guide. According to DCS policy an Internal Guide is appointed to provide guidance to researchers on a continual basis (Department of Correctional Services, 2020). They are the main gatekeeper. I was fortunate that my internal guide was also doing psychological research. She understood my role and utilised her knowledge of the management area to suggest the best centre for the study. She was not working at the particular centre and I only came to understand her choice at a later stage. This centre mostly housed persons who had done the first part of their sentence. Like all the other centres in the management area it was heavily overcrowded at the time. My internal guide accompanied me to the centre and did spontaneous introductions as our paths crossed with the other staff members.

Senior Management (including Head of Centre and Deputy Head of Centre). I was welcomed with warmth and appreciation and understood why the internal guide chose this correctional centre. There was an openness, the managers seemed confident and expressed feeling honoured to have been chosen for the study. I had followed the useful guidelines provided by Trulson et al. (2004) and continued to build on the personal and informal aspects of relationships with staff. It involved sharing significant life events and providing biltong (a South African dried meat delicacy) and biscuits at year ends to say thank you. As is also suggested in the literature, I initially wrote reports to all the managers. However, as people are inundated with emails, the detail of the reports may not always have been read by everyone - but the act was appreciated, and a special folder was created on one of the senior manager's computers to keep them together. The fact that this was done and the way reference was made to their content, seemed to suggest that the reports gave the staff reassurance and confidence in the study, as well as a sense of ownership. Once the study's format and routine were established, I stopped with giving reviews, focussing on problem-solving particular issues instead. On reflection it would have been

ideal to have kept to writing a monthly report using a familiar structure. When it was not possible to get hold of managers for specific issues, I used WhatsApp messages or put letters and reports under their doors.

The Head of Security in the Centre (HoS). This relationship was important as knowing that I worked closely with the HoS provided other staff with a sense of reassurance. As he gave me his mobile number, I usually reminded him when I was coming and reported when I left. When the senior management was not there, HoS was the main problem-solver who had the necessary authority.

Unit Managers (UMs). I was fortunate to be invited to a meeting with all the UMs to introduce the study. It allowed me to make individual arrangements for the best times and ways to introduce the study to the CMs. These alliances proved to be important as the study progressed. The units of the two UMs who I had specific but different relationships with, also played the most important part in the development of the study.

Social Services. With the Sports and Recreational Services (SRAC) and Religious Care, Social Services serves as the correctional centre's bridge to the outside world. In many ways, they are also 'inbetweeners'. They have a different code of conduct than most security staff and linking with the outside world forms part of their job-description. They appreciate the difficulties of service providers and are flexible in their problem-solving of such challenges. The social workers were delivering their service from three offices, with double that number of staff. They were under significant pressure at the time to manage the national backlog for assessing so-called 'lifers', people who had been sentenced to imprisonment for life and who had to be considered for parole in terms of a Constitutional Court ruling. As their resources were so limited, I did not have much access to them. This relationship was however invaluable for finding the most suitable venue, for problem-solving and giving the study validity. It was also clear that this relationship was the most valued and appreciated by the participants. A specific social worker gradually became more involved with the group and her prominent role as the study concluded, could potentially guarantee some sense of continuity for the group after I left.

Educational Services and SRAC. The education services were a valuable contact assisting with legitimising the study, appropriate venues (especially for the pre- and post-

assessment) and internet access. The credibility of the study was reflected in the number of educators (inmates who run classrooms and do teaching) who became regular and eventually committed participants. These inmates were entrusted with the educational service resources and managed the use of the classrooms.

Psychology. The correctional centre had a full-time psychologist and a psychologist doing community service. They also had the pressure of meeting national requirements of assessing people with a life sentence. My being a psychologist, triggered inmates to share their perception of psychologists in DCS, which I was naturally interested in. “A *psychologist is only somebody who you see before you go home. They don’t come down and sit by us.*” Generally, psychology services were associated with persons not relapsing. There was a strong feeling that more psychologists were required and that it was unfair that lifers had priority access to this service. Initially I offered to assist with trauma-based work in order to do community psychology work alongside clinical psychology, as I would have done in my own context. However, it soon became apparent that doing community work, clinical work and research in a relative new system, to which I had limited access was too complex and unrealistic, although I did manage to assist with one client. I realised that doing community psychology work in a correctional setting would require clear boundaries between the different roles, ideally a specific post with a clearer job description. Representatives from the group eventually worked closely with the psychologist on a citizen’s project (see section 6.2.3). This did seem to illustrate how a psychologist can indeed do specific community psychology interventions and individual clinical work simultaneously. She had however fed back to me that she found this to be a challenging and draining process.

Records Office and Case Manager Committee (CMC). CMCs review and process persons’ files for parole hearings, discharge and transfers. Generally, they have a close relationship with incarcerated offenders. This relationship was important for the study as we mostly used their courtyard, requiring the participants to walk through their open office. Their involvement also extended to availing their storage space for locking the study’s chairs away (as they could be stacked, they were a security risk).

Religious Care. This contact provided more contextual background about the nature of the centre and its design. Although one of the religious care members initially questioned the

use of Ubuntu, he acknowledged its value and worth during the study's closing ceremony. At one point during the study's development, I had contact with the religious care office on Management Area level when the province sector organised a moral regeneration day. Our group was well placed to represent the current Management Area, but this was given too short notice. During the course of the study, a gate guard had moved to the Religious Care office. He was able to confirm the existence of the Ubuntu group and kept contact with them. It is thanks to this link that the group then assisted Religious Care on subsequent projects.

Reception Offices. These offices involve two areas: one where people literally come into and leave the centre and the other an office which arranges and prepares the transfer documentation. Contact with the former group occurred with each session. I had to sign for the long benches we borrowed from their 'holding hall'. My relationship with the second office was always complex in that my dealings with the second office often involved, as described more fully in section 4.2.1.2.c, having to intervene to prevent participants being transferred. This was eventually resolved on a systemic level by involving the management.

Security Officials. It was invaluable to visit the different units, in that it allowed me to get to know the security staff tending the gates. I was also dependent on security staff to be escorted to the units and used this time to get to know them. The more familiar persons became with me, the more they were at ease with my presence in the correctional centre. There was a general awareness of studying amongst the officials. I met a few people who were also students who expressed feeling isolated and alone in this role. The study allowed them to engage and to discuss what they were doing. I shared resources and invited them to our sessions.

In later stages of the study, I also had some contact with the **Kitchen Staff**, the **Nursing Staff, Shop** and other **Service Providers** (e.g., see section 5.5).

b) The Venues. Participatory action research studies invariably pay close attention to the complex web of interactions among participants and other role players. However, the physical spaces within which these interpersonal dynamics occur can in themselves also have complex enabling and constraining effects (Reif, 2014). As discussed in section 3.4.2 the *spatialising of participation* provides opportunity for the practising of participation and thus

opportunity to develop empowerment (Cornwall, 2004; Kesby, 2005).

The physical structure of a correctional centre is as complex and multifaceted as its social structure. For the main part of the study the correctional centre was used for both short, medium and long-term placements. Several *layers* of administrative and professional offices had to be passed before the *residential area* of the inmates was reached. The relatively short corridor to the gates of the units always caused a bottleneck. Compared to the correctional centre where I worked, the building made me feel more enclosed, there was less greenery and less free space. Within the units there were many corridors and staircases that were narrower than what I was used to in other correctional centres. They seemed to hold a sense of twilight.

Predictably, the correctional centre where the current study was conducted did not have spaces specially reserved for conducting research, let alone spaces set aside for participatory research groups to claim long-term ownership over. Instead, the group had to make do with much more transient and ad-hoc arrangements, and to become habituated to a somewhat nomadic existence within the confines of the centre. Although this spatial transience and lack of ownership (always being a guest in somebody else's space) hampered the group's efforts to become sustainable, it also provided opportunities for the group's participatory agenda to become more widely infiltrated throughout the centre. Getting to know the options for venues to meet, occurred gradually and in response to what was happening in the physical and psychological environment at the time. As with many aspects of the study, the identification and utilisation of different venues spontaneously shifted from me as the research initiator to the participants gradually taking over the responsibility in the environment which they knew well. Below I introduce the most important spaces within which the group's activities occurred, together with some preliminary details on what role they played in the unfolding of the group's projects.

During Phase II I focussed more on outreach – getting to know the different units and taking the study there to allow potential participants to get more familiar with the idea. Venues were ‘tried out’ in an experimental way. We used the following:

‘Kitchens’: There are no dining halls, tables, chairs, cutlery or crockery provided in a South African correctional centre. Kitchens are spaces through which people move in a queue as

they have their food dished up. Persons provide their own plastic holder and have to find a place to eat. Throughout the study, I needed to remain aware of mealtimes to ensure that we do not go over our time. Food could however be dished up at any time. Participants managed by arranging that their friends collect food for them. Member checking pointed out that individuals sometimes attended without having had breakfast. This again highlights the issues of vulnerability which can be easy to miss. Refreshments were an important topic, and providing basic sustenance would enable feeling valued and generally assist in enabling participation.

'Classrooms': The unit dedicated to education had a few classrooms in which two classes were often running simultaneously – one at each end (with fellow-inmates as the teachers). There were similar rooms in other units that were used for education, corrections education as prescribed by CSPB, kitchens, certain sports, religious gatherings, courses being offered by service providers and other meetings. They were therefore scarce resources and needed advance negotiation to have access to. The education office assisted us to use the main classrooms for the pre- and post-assessment.

'Open rooms': These rooms were perhaps intended as offices, as they were small and usually close to the gates. They seemed to be used for smaller meetings or as recreational spaces (e.g., housing a pool table / punching bags). Noise levels limited them for groupwork, although there was some understanding that people needed to be quieter around these spaces in the event of 'classes' and it was relatively easy to give a reminder. The use of these rooms was managed by the participants.

Records Office Courtyard (ROC): This room was identified by the Social Work Department at the onset of the study. From a security viewpoint, this was an ideal room for the correctional centre's management, being in the administrative part of the centre. It was a huge circular open-air area, which was mostly surrounded by the rest of the centre's corridors that went up for a few stories. One wall was a boundary with the outside of the Centre [see security issue above in section 4.2.1.2.b Records Office and Case Manager Committee (CMC)]. The top story overhung one side of this space which provided temporary shade and cover when it rained. This directly implicated how the space was used, as the group moved with the sun during a session. The surrounding concrete walls gave good access for putting up flipcharts and made it easy to spread out into breakaway

groups. Despite being a versatile space, which maximised a sense of freedom, flexibility and easy access for a large group, it also had a number of disadvantages. Being outside, it was very cold in winter, and most participants did not have sufficient access to warm clothes. It regularly became inaccessible due to flooding (caused by blocked drainage holes). As it was in the administrative part of the centre, it was generally hard for most of the participants to access and required constant motivation and endurance to convince gatekeepers to allow mobility. Once the participants completely owned the project, they stopped using the ROC courtyard and made use of one of the *open rooms* (see above and also below: *Ubuntu PAR Group's room*) instead.

Social Work Courtyard: This was a huge rectangular space which was generally used by the correctional centre for large groups of inmates who needed to be transferred. It was also a 'holding' space for persons who were waiting to see the social workers during the day. It functioned as a 'back-up' when we did not have access to the ROC. Given its size it was ideal for breakaway group workshops. However, it provided no shelter or shade from the sun, and could therefore not be used for long periods at a time.

Reception: This was the only roofed larger space, although its protection against the elements were limited – it had iron grids rather than walls. It was our fall-back space to gather when it was raining, although only for relatively short periods, as the falling rain on the roof complicated hearing each other. We managed this by huddling closely together.

Most of the spaces mentioned were often also shared with other groups of people. They were always invited to take part if they wished to. This however rarely occurred.

The Ubuntu PAR group's room (Phase IV): This poolroom was discovered and owned by the participants when the first cold snaps of Winter started. It was located in one of the small sections right at the end of a corridor 'deep' into the correctional centre. By this time the group was well established and had some legitimacy in the centre. Most unit officials were supportive of the group and allowed easy access for participants. It was easy to warm the room with a heater and gave us the opportunity to serve hot drinks. Though significantly smaller, the room accommodated the smaller size of the group with ease. However, it was not an easy venue to reach for outside visitors. Even in uniform I still required an escort to reach it which could take significant time. It remained questionable if

it would have been possible for the participants to meet in the poolroom after the study. They never seemed to use the space without me being there. One of my functions was to give legitimacy to the group and their use of particular spaces within the centre.

c) The Routines:

Establishing rapport is central to being able to do research in a correctional setting and accommodating for routines form part of this process (Beyers et al., 2015; Devers & Frankel, 2000; Umamaheswar, 2014). Hart (1995) describes the act of research as *routine breaking* and therefore a threat to security. Routines seem to present the behavioural dimension of the environmental context on a more macro level. In order to enable a successful start and continuation of a PAR study, I had to get to know, adjust to and work around the correctional centre's own routines and events and to have a backup plan ready for when there were unexpected changes to any of these. Below I report the learning process of this aspect of the institution as a set of instructions to assist generalisability for future studies:

Determine the best time of the day to start. Sessions were best held in the morning, before lunchtimes. As 'unlock-times' could vary it was important to balance not starting too early or too late, making it comfortable for persons to get to the meeting.

Avoid shop days. The centre's shop tended to open on a weekly basis selling food and toiletries. This was an important centre event. Units had access to the shop on more or less a monthly basis. During Phase II clashing with the shop days caused the relevant Unit's participants not to attend. Once the group realised this, they managed the shop days with several strategies. Individuals would arrange for others to do their shopping for them and as the study became better known, participants were given preferential treatment to be in time for our meetings. I also adjusted our timetable to use these days for smaller business and planning meetings. We further compensated by stressing the *open-door* policy which allowed persons to walk in and out of sessions at their leisure. This enabled participants to attend to other priorities and issues whilst still remaining part of the group.

Respect sport days: I first became aware of the sport days when a participant gave his apologies as his soccer team had made it to the final. The centre had its own soccer leagues which formed an important part of its infrastructure. This touched many of the participants. The group however made a principled decision that its activities would not be arranged

around the soccer calendar. The individuals who argued for this differentiated values and sport and made a case that the former was more important. We eventually agreed that it was up to individuals to decide about their attendance on these days.

Collaborate with centre events: Occasionally different correctional sectors arranged events involving the whole centre. These may be once-off occasions, or a programme which was developed in the respective units and then ended in a grand finale. Of all these events the 'Family Day' stood out as most important. These events had a significant impact which shaped the study. This was well demonstrated with the group members participating utilising the group's identity (see Chapter 5) and eventually being approached to assist in its own right (see section 4.2.1.2.a *Religious Care*). Centre events that were only for officials (staff meetings or memorials) would impact everybody's movement and we generally had to adjust our sessions accordingly (e.g., making them shorter or having them in the units). When the cells remained locked and the units inaccessible, it was a useful time to catch up on paperwork or having discussions with colleagues who fall outside of the centre's security staff or to visit individuals who had been moved to other centres in the management area.

Prioritise security: Security remains an important theme and it was always paramount for the safety and reassurance of both the officials and inmates to show respect for and adherence to such concerns. At the same time, I tried to demonstrate flexibility and compensated to maintain the consistency of the study e.g., by holding a smaller meeting or shorter session rather than cancelling or moving the session to a more appropriate venue. The security incidents would range from practical situations, such as there being no electricity (and therefore in some places total darkness), to tension building up between the inmates and management, and gang related violence causing total lockdown. **Managing transfers:** The centre's overcrowding caused regular periods in which large numbers of persons were transferred (referred to as *draf*²). Transfers was also a way of dealing with drug trafficking or challenging behaviour. Transfers are a significant part of correctional

² My supervisor alerted me to the rich background of this word. 'Draf' is a Malay word meaning 'draft', which may well be where the term comes from - via enslaved and/or non-enslaved but for incarcerated Cape Malay people. It is also an Afrikaans word meaning 'jog', which may now be the predominant association in people's minds.

services which can be expected to impact individuals on many levels (Cochran, 2020). To prevent the transfer of group members, strategies had to continuously be put in place to provide evidence of their participation in the study. At the same time, care had to be taken to prevent the threat of transfer giving an incentive for participation. The group took an active role managing this with name lists (also see section 4.2.2.3 Nametags).

4.2.2 Creating a Structure for Participation (*Mainly Phase II, but also ongoing in Phases III and IV*)

Transformation ethics (see chapter 3 and section 4.1) and the goal of executive functioning development (mainly using a CRT approach see section 2.2.1) shaped the gradual development of a participatory structure. Initially the ethics education and executive function were approached as two separate goals. As the study developed, it became more apparent that ethical practice and transformation inherently involved stimulating executive systems. CRT guidelines suggested three coordinated sessions a week. This was mostly interrupted by public holidays and the correctional centre's month-end administrative responsibilities.

The following steps created a structural platform for the study -

4.2.2.1 Introductory Meetings with CMs (KEY: Table 4.1 month 2/2-6)

CMs, as elected members of the incarcerated population (see section 4.1.1.3.a) were invited to actively participate in an enquiry so that they could also benefit from it in a democratic, equitable and liberating way (Fine et al., 2003; Macdonald, 2012). This was done with mutual introduction within the CMs' respective units. Given each unit's uniqueness, the UMs introduced the study to their CMs as they saw fit. Where appropriate, invitations were put-up or sent out (see **snapshot 5**). Sessions varied in terms of the role and involvement of the UM and the process. Meetings were held in a kitchen, classroom, small room (as discussed above, 4.2.1.b) and one with the UM in their office. It involved introducing the ideas of PAR, executive functioning, Ubuntu ethics and the development of a *real-life project*. The CMs were unexpectedly confronted with sitting in a circle and talking together. These meetings not only provided information for making informed choices, but also demonstrated *voluntariness*. Persons were exposed to the reflective space from the onset and some tested whether they could really leave. Once chairs were arranged in a

Snapshot 5: Making first contact

An Invitation To

Cell Monitors

to a meeting with Janeen Prinsloo (psychologist,
management area) about participating in a research study.

The meeting will inform you:



WHAT the research is about
(It is about the empowerment of cell-monitors)

WHY the research is being done
(For the development of thinking (executive) skills)

HOW the research is going to be done
(In collaboration with inmates and community representatives (ethicists))

The purpose of this meeting is to hear your initial thoughts about such a project.

This will inform the project's preparation phase which is likely to span the whole of July.

We hope that this will generate an exciting and creative space to share with and learn from one-another.

Can only cell-monitors come to the meeting: Cell-monitors can invite anybody who they think would be useful for / important to/ benefiting from such a meeting. People who have a special interest in research/translation/ethics are also welcome to attend.

- Thank you for your interest and the privilege to meet with you –

WHEN?

circle, the interpersonal process seemed to flow naturally. Attendance ranged from 13 to 21 persons of which more than half participated each time. Different balances were tried between giving information about the study and giving CMs the opportunity to talk about themselves and their issues. The latter still gave sufficient opportunity to link the study with their contributions, although it may have made the study less clear to those participants.

In preparation, I started with the 'Educational Unit' as they could be expected to be more assertive. Although generally called "Cell Cleaners" this

group stated that they prefer *Cell Monitors*. They suggested separate visits to each unit, highlighting how different they all are. They explained that CMs also include the *Cell Committee* which involves the CM, the CM assistant and the CM committee members. It was recommended that one CM in each section acts as 'runner' calling others together.

It was unusual for the CMs to be called because of something being offered to them. They were both amazed by and suspicious of this:

"We are so quiet, because we are very surprised. People have never before come to talk to us like this. There are no skills training here. There are some projects and we try to make use of that. It is important for us to learn practical skills for many are too old to go back to school."

"(Laughing). I am shocked, surprised. Since when do people care about us? How can there be a course for cleaners?"

But the CMs could see the relevance of an intervention for them:

"We need to upgrade our standard, it is difficult to lead, we need to know how to control and behave in the right way. You need to lead yourself – to come down to the level (that is required). It is important to be empowered to have more knowledge, we have many challenges dealing with different nations, people are raised different, they don't think the same, they don't know how to treat people, they grew up like that."

These meetings allowed us to learn about, understand and appreciate CMS’ roles:

a) How CMs Describe Themselves (also see **snapshot 6**). CMs saw themselves as needing to be caring, open, honest, focussed and participatory. They stood *“between DCS and inmates”*. It was recognised as a difficult position with constant challenges: *“most people are afraid of being a cell monitor and the situation.”*

“CM monitor is challenged by different people with different mindsets. You have a chosen task in which you must reinforce rules, they need to be abiding by it. These rules had been developed over time for everybody’s benefit. They come from the Department, but are also added to by each cell, they provide guidelines. Many individuals do not follow the rules, they may think that they are greater/ bigger than the rules. This is when the committee must help you to deal with it.”

b) CMs Experience Substance Abuse as a Significant Problem.

“(There is a drug fight). The person cannot move, although he is the cause of the fight. The cell is expecting me to address the matter. But because of drugs, he is too high (to deal with). If we bring in the cops, there will be a strip search (and people will not be happy either). We need support from the office, but they are dragging their feet.”

c) CMs Describe Themselves in Relation to Officials. CMs did the daily running of the units, with officials getting involved *“with things that are adverse”*. This was confirmed by a UM who emphasised their reliance on the CMs and their discipline. From the onset ambivalent feelings were expressed about this relationship: *“Officials obstruct good things, take our spirits down, jealousy starts setting in”*. Officials were also important: *“We need the members (referring to officials) support”*.

d) CMs are Sensitive to the Complexity of Their Role and its Use of Power.

“It is very important that we need to be flexible (in the application of the rules). It should not be about oppression. It is part of the rehab process. This is different for each person.”

<p>Snapshot 6: Responses to ‘hot ball’ warmup exercise</p>
<p>It is fantastic to be a CM because...</p> <ul style="list-style-type: none"> ▪ It gives you challenges and at the same time it teaches you about yourself. By solving problems in your cell it teaches you as an individual to be able to handle different situations in different ways. As a person who likes to be challenged, mentally, it helped me to grow up, it might be wrong, but it helped me to grow up mentally. <p>I am fantastic because ...</p> <ul style="list-style-type: none"> • I can handle people who are very vicious • I can handle any situation • I can be a better father to the people, and my child, each and everyone • I can learn • I now know how to listen to somebody else. Before I couldn't do that, but now I can sit down and listen to whatever you have to say. • I like to be a cell monitor • I love people.

e) CMs Acknowledge Their Resources. The CMs made use of other inmate organisations providing courses and assisting with gangsterism and the development of leadership. This phenomenon was also present at my correctional centre. Regretfully, I experienced such resources rarely being officially acknowledged by DCS, although they often relied on them to achieve departmental goals. One section also used a *Concerned Citizens* monthly meeting in which they could share and address positive and negative issues. It was clear that most persons felt that the CM role was an opportunity for personal development. The challenges taught them to manage difficult and complex interpersonal scenarios (see **snapshot 6** above). The executive functioning required to be a successful CM became obvious.

f) CMs can Imagine the Benefit of a Study Involving Them. They felt that having something special could motivate others to become CMs. Referring to brain functioning particularly resonated and people thought that both the justice system and corrections needed education in this regard. They expressed a general concern that persons who offend deteriorated in the seriousness of their relapses and suggested that more research was needed to understand and address this.

*

Even this exploratory stage, introducing the study, revealed rich data. There seemed to be sufficient information to utilise for a meaningful project with the CMs (e.g., looking at their roles, their needs, them giving each other support with the management of challenges). I was aware that it was premature to initiate and impose any specific structure, thought it would have been easy to do at this point.

4.2.2.2 Workshops Enabling Potential Participants to Make Informed Decisions

As the possibilities of how the study could unfold was becoming clearer to me, I attempted to give the potential participants a sense of what working together could entail. This was done by organising a few *introductory workshops* to lead up to the pre-assessment and the formal commencement of the study (see **snapshot 7**). After I suggested this to the group, we had to make decisions about how to work with the different units. Persons coming out of the units or the study going in had implications for access, security and space. We experienced the different options and decided and problem-solved a preferred

way forward. The group agreed on meeting for an hour more or less three times a week.

a) **‘How We Might Be Working Together’**. Arranging a first workshop which could include all units involved the assistance of the HoC, Head of Social Work, the HoS, the UMs and the Records Office. It was a good investment to be as thorough as possible in working thorough the hierarchy in the beginning of the study. This allowed for relatively more flexibility and independence at the later stages of the study.

Snapshot 7: Invitation to experience possibilities

Participating-Action Research Study

Inviting all

Cell Monitors

to the 1st JOINT MEETING:



WHEN?
Thursday 2 [REDACTED]

WHERE?
Records Court Yard

TIME?
9:30-11:30

WHAT?

We will be doing a joint WORKSHOP. This is to give you a taster of possible future groups. It will include the following (depending on the time):

1. Large group activity
2. Feedback and update on the project this far
3. Small groups: around specific themes
4. Unit groups: selection of a representative for Community Peer Review Group whose purpose is to prove a platform for continuously reviewing the project.
5. Language groups: analysing the pro's and con's of the different groups
6. The way forward

- Thank you for your interest and the privilege to meet with you -

Janeen Prinsloo (Clinical Psychologist, ^{management}area)

Sufficient structure was prepared for the CMs' first encounter. The focus was put on the experiential level of tasks so that the group could give feedback about their preferences for going forward. These tasks were deliberately chosen to facilitate either interaction or independent functioning, as to minimise a pattern being set of me taking the lead. It only really worked once I also handed over the role of chairperson at later sessions. The session started with matters of business, ensuring that all the units had made it there (it was often the case that some persons required support to be allowed to leave their units). An attendance register was signed. A flask of fresh water and cups were at hand, and people were aware of having access to the closest toilets. The content built on the results from the introductory meetings and remained focussed on their role as CMs. The participants were made conscious of the two levels at which the events were occurring. Not only the content but more importantly the process. They were to compare the various activities' pro's and con's as to give an indication of which they preferred for future groups. The following activities were explored:

i. **Large, 'game-like' group** ('To pray or not to pray'): This impromptu group was conducted when the issue of praying before the meeting was raised. Wanting to demonstrate acknowledging and managing differences, I asked whether everybody would

prefer this and it was clear that there were various opinions. I utilised the toolbox of available group activities which I had learned from the ethics education course. The large space of the courtyard was ideal to draw an imaginary half circle on which individuals could place themselves according to how strongly they felt about starting the sessions with prayer. Volunteers were asked to explain their position, which highlighted persons' different faiths. Only two individuals could go against the majority – they explained that because prayer should be diverse, they would only want to start with a moment of silence. The individuals who were of Muslim faith stated that as they had already prayed, they would call such an activity something else. Most of the participants were of Christian faith and felt that we should start the sessions with a prayer, following a 'majority rules' approach. This immediately caused some conflict in terms of 'what about the others'? *"It was touching to me how important respecting the different faiths and giving space and recognition for all was and how strongly people felt about it – but we did not (immediately) know how to manage this: in discussion with each other, listening to each other it became clearer"* (fieldnotes). The final decision was based on my suggestion (which I had initiated to manage the time and allow us to proceed). We agreed that if all got a chance to pray in the manner which they most prefer, it would at least give some proportional representation.³ Thus it came about that throughout the study each session was opened and closed in prayer. We tended to utilise the time before this, while people were gathering, to discuss business issues. The prayer usually occurred at our agreed time on the hour and from here the groupwork commenced. The proportional representation only lasted during the beginning of the study. Gradually the individuals of Muslim faith stopped coming (they fed back that it clashed with their studies). Later that year, a participant who had not been there in the beginning, commented passionately that he would never pray. He seemed to relate this to the authoritarian regime when people were told to pray. As he was looking at me, I explained the process of how and why we came to pray at the beginning and end of

³ During Phase II time limitations often caused me to have the 'last say'. Time-keeping disengaged from the process content and stressed people. We had to learn that time-management was not about watching the clock but about the way me made decisions. The group gradually took responsibility for this decision making as they increased the time of the meetings and determined how the time was being used. Time-management provided ongoing executive functioning practise for all of us.

meetings. This seemed to satisfy him. He eventually facilitated prayers and at the end of the study also prayed himself.

ii. Sub-groups: Various smaller groups were planned to give the participants different experiences of ways we can work together and a sense of what they would prefer. Changing the ‘rules’ of how we are going to divide was done in a playful way which assisted everyone to become more mobile, to start using the space more and to build a sense of energy.

Sub-groups based on themes: To keep the session as relevant and real as possible, quotes were used from each of the introductory meetings. These were written on poster-sized sheets of paper and spread around the perimeter of the courtyard for individuals to choose what they want to discuss with others. Flipcharts and marker pens were provided to prepare feedback posters (see **snapshot 8**).

These groups were reported to be the most enjoyed. They seemed to empower participation by maximising choice, interaction and the use of vernacular language. *“This demonstrated how effective small groups are in bringing people’s voices forward. Their posters seemed to capture the essences”* (fieldnotes). Subsequently sub-groups and posters were used throughout Phase III and in the beginning of Phase IV (also see **snapshots 9, 15, 16**). Observing how working in sub-groups requires initiation, inhibition, planning, structuring and monitoring demonstrated that this modality can provide good

Snapshot 8: Posters from some theme-based sub-groups

“So this group will be about sharing skills”

The importance of sharing skills

- Sharing skills will help us to equip one another with knowledge
- Sharing skills is good because it helps to spread ideas
- It also helps us to change for the better and become leaders
- It also makes one grow in different aspects of life
- It makes one to realise the ability he’s got
- Boosts our confidence for future purposes
- It also empowers one in participation

“To empower means to equip. We need to be equipped to deal with different kinds of people”

We need to be equipped in terms of: -

- a. Different behaviour (i.e. manipulative)
- b. Understand our differences (i.e. culture and religion etc)
- c. Communication skills
 - a. Addressing the masses
 - b. Addressing the individuals
- d. The way a monitor should conduct himself (i.e. discipline, listening skills, being assertive)
- e. Leadership skills (i.e. democratic)
 - We need to be placed under programmes (i.e. life skills, anger management)
 - The programmes are available already but they need to be improved (i.e. make them more interesting)

“It needs to be studied, why are we coming back?”

Drugs/alcohol	Poverty
Parole system	Integration to society
Lack of support system	Peer pressure
Stigma	Lack of skills
Lack of rehabilitation	Anger management

executive functions practice. On reflection, I realise that persons with ABI often find group-functioning hard. Therefore, groups either need to be kept small or people should have the option to work in pairs. It was, however, unlikely to be a significant issue for persons who have been elected as CMs, given the demand on executive functioning which was required to fulfil this role effectively. By this time the multi-tasking and complexity of the CM's role was already clear (e.g see section 4.2.2.1.a).

This format regrettably disappeared towards the end of the study, as the group became smaller. The cold had forced us to move to a smaller room which did not allow for breakaway groups. It was therefore never possible to go back into this format again.

Drawings ('*Introducing the Cells*'): To explore the use of art, one of the units were provided with materials to draw their cells with. They brought 6 posters to the meeting. (Because the artists were never formally identified I didn't get permission to use them here). Each approached their living environment differently, representing it on psychological, function, physical, three-dimensional and panoramic levels. One spectacular drawing gave a photographic view as if you are looking into the cell from two perspectives, like a video, capturing its clinical institutional nature with strong geometric lines. None of the drawings managed to get the total number of 50 beds fitted in. One drawing could show how beds were pushed together in groups of two to enable four persons to sleep on them. Another demonstrated how cells were managed by teams taking turns to do the cleaning. The psychological and sociological phenomenology of *cell* was captured by a poster representing what it meant for people on a personal level. Incarceration touched not only overcrowding and being locked up, but also how persons were imprisoned by their stressful realities. None of the individuals who drew the posters engaged with the drawings and only one CM had to stand in front of them as something he wanted to discuss (all the participants rather chose the themed posters). Perhaps, the study's space was giving people a break from that reality, and they didn't need to be reminded of their cells. I joined him and we discussed the posters as two observers. He approached their content according to Maslow's triangle – feeling that for most persons the basic needs that were expressed by these posters (e.g., over-crowding, hygiene, dignity) needed to be addressed before rehabilitation can occur effectively. He felt that the communication between offenders and officials was crucial in this regard. Given the lack of engagement with these posters, I didn't

initiate this modality again. The rich data provided here does however suggest that this is a modality which could have been explored further.⁴

Unit based sub-groups: Keeping the content of groups 'real' for the participants, unit-based groups were invited to select representatives for the *Community Peer Review Committee* and to assess and problem-solve the participants' access to the study. On critical reflection there was general agreement that these groups were to be used for *unit-based issues*. Even when these issues were raised in the study (it occurred twice) the whole group tended to consider these issues.

Language based sub-groups: Participants were invited to divide themselves according to language sub-groups. As before they had to engage in a 'real issue' discussing their experiences and preferences of the different groups. The general consensus was that, although everybody enjoyed speaking in their own languages, this would only be preferential for complicated matters (which was only implemented once).

b) Planning and Review Sessions. The current study was not able to realise the *Community Peer Review Committee* or *Steering Groups* as it had originally been envisaged (see section 4.1.1.3.b.iv). People's attendance was based on them being able to come, and not on the purpose of the meeting or any chosen roles (e.g., steering group). It would also seem that in a larger group, individuals were less likely to engage in reviewing the process. Although this was revisited at different stages during the study, participants did not seem to give much expression of their opinions of the group process itself (at this stage at least, it changed significantly in Phase IV). Therefore, care was taken to be sensitive to other cues which may represent persons' views. Even at later stages of the study the group remained unresponsive to when I asked open questions about the process itself (e.g., how they felt about seeing their spoken words typed up, or enquiring about their anonymity in the

⁴ The use of drama is another possible modality which can be used. A community drama group had shown initial interest to do work on the Ubuntu theme. Unfortunately, this possibility had not realised due to the lack of capacity to fully engage in developing a relationship (as had been done in the case of the other community representatives) and explore this with them.

study⁵). It could have been because this was too unfamiliar, or that the questions were too general, or because they did not feel comfortable to speak for the group. I also realised that often these questions were about what I wanted to know for the research, instead of being facilitative of the process. I gradually realised that there were two processes in my mind, the group process and the research process. I had to learn to stay with the group process and let this become the research process.

We mostly used these 'review meetings' for planning, problem-solving and organising logistics. These became small energetic groups. By Phase IV, when the PAR group consisted of a core group, issues tended to be addressed spontaneously within sessions (e.g., rescheduling meeting times to last a morning, rather than an hour). The function of reviewing process issues gradually re-emerged later in Phase IV of the study after they had elected an 'executive'. The executive reported that they found their meetings difficult. The chairperson realised that they tended to fall into processing content, instead of preparing a structure/agenda for the main group.

It would seem that the most important reviews occurred in the informal discussions as I was being accompanied to the gate. At first this tended to be taken up by specific people who reviewed with me how the session went. I would later refer to them as the *legitimators* (see section 4.2.4.2). We would discuss their thoughts about the meeting and about going forward. By Phase IV this space was also used by other participants, mostly the leadership figures and the Elders. These meetings provided a significant contribution to the credibility of the study (see section 4.6.1).

c) Pre-Assessment Preparation. The participants could choose between receiving a lecture in preparation for the assessment, or to discuss information leaflets in groups. We considered the pros and cons of each and they chose the latter option. We held the meetings leading up to the pre-assessments in those sections which had not been well represented so far.

⁵ Because the participants' case-study write-up was done giving great care to anonymise the centre, this thesis has attempted to ensure that no identifying information is provided of neither individuals nor the institution. Where a person needs to be distinguished, alphabetical letters are used as a pseudonym.]

i. ***Workshop and review of formal assessment process:*** This session aimed to educate potential participants about research, to have them review the current study's draft consent forms and to introduce them to the potential tools that would be utilised for the pre- and post-assessment. They had to consider and give feedback about the tools' applicability and reliability and any potential concerns which they may have. This was the first group which was facilitated by one of the participants. Having one of the unit-managers, a fellow student at UNISA, there, played a valuable role in the group dynamics, as he could also ask important questions and could clarify issues around research ethics.

The group divided into five workgroups which gave feedback to the main group:

Executive functioning self-rating scales: We discussed issues about reliability and validity as well as the importance of finding correlations between tests.

Performance assessments: The group was given the basic principles of the verbal and design fluency tests and had to try and develop their own tests. This led to discussing standardisation.

Questionnaires: The group discussed the Quality of Life and the Criminogenic thinking questionnaires. It opened up discussions regarding morals and ethics. The person giving feedback announced that he only learned about crimes in prison. I assumed he meant doing more crimes, instead he was referring to only becoming aware that many things he took for granted as a lifestyle were actually crimes. He stated that "*it is only when you do wrong, that you start learning about right and wrong*" (fieldnotes). This called attention to how social exclusion can create places allowing persons to grow up where 'wrong' is 'right' and thereby be disabled within the larger society.

Qualitative questions: This group considered some potential phenomenological questions (*The meaning of Rehabilitation and being a member of society*) and the principles of Appreciative Enquiry. This group's feedback mainly focussed on the importance of engaging the officials.

Consent and registration forms: The clarity of the consent forms received positive

feedback. An explanation was needed for there being two consent forms. I explained that consent was not *all or nothing*. The second form was more specific about the choices of *what you could give consent to*. A person from this sub-group resolved a later debate about demanding attendance by referring to the consent form stating that participation was voluntary (see 4.2.5.c).

Working together, we were able to critically consider issues such as validity and the reliability of testing material. Not only was reference made to the impact which language issues may have on this, but these issues were also problem solved together (e.g. that and how translators would be used and which venues would be best). This demonstrated how the assessment was owned and valued. The group's priority was more on the process of getting all involved, and less on the content of the evaluation (which was my priority). Rather than just a means to an end, the process of their *being informed* by discussing information with each other, became an end in itself.

ii. Workshopping research ethics: The CRT approach informed the structure of this workshop – for participants to generate what they already know about research ethics. Starting with what persons know, is also a transformative PAR principle. This was done by spreading topics around the room on individual flipcharts. Individuals were invited to choose the topics they wanted to discuss and the resulting sub-groups were provided with some guidelines (What does this mean?; Why is it important?; How do we manage it in this research?; How is it relevant to my role as a Cell Monitor?). Some groups worked in a focussed way and moved on to a new topic. At least one group became so immersed in their topic that they used all the time on this. The sub-groups then presented their posters, which opened further discussion to clarify issues (see **snapshot 9**). The following topics were covered: 1) consent, 2) autonomy, 3) anonymity, 4) confidentiality, 5) consent letter for food (we had been informed that beverages could only be provided if a consent letter was signed by the participants) 6) how do we transform situations when bad things happen? This topic was triggered when one person apologised for missing a session because he was disturbed by the previous week's gang fights. This sub-group was attended by the largest number of persons and were allowed the most feedback-time. It demonstrated the importance of the group content being relevant to the participants *here and now* – their current needs and issues.

Snapshot 9: Posters from the research ethics workshop

CONSENT

- I have power to give consent to my fellow inmates.
- It hates to do things without consent because it takes us now where.
- It causes conflict which leads to unnecessary fights amongst us.
- When we have consent, we learn to relate to one another's behaviour and also to live honourable with understanding each other.
- There are too many things that we intend to do without consent leading to unresolved problems.
- Consent is a middle word that involves tolerance and transparency when we live under one roof.

HOW DO WE TRANSFORM SITUATIONS WHEN BAD THINGS HAPPEN?

- Is to identify the cause of the problem and identify the culprits.
- To hear their complaints and find a solution to solve the matter.
- The structures of the organisations in prison must be active and come on board
- To establish many rehabilitation programmes that will bring change in inmates.
- When you found the culprits who cause bad things to happen, counselling must will be applied to help them in progress.
- Or to try to divide them by transferring them to other prisons.
- HoC must always listen to the grievances of prisoners to prevent them from manifesting.
- Our Unit Manager must always make meetings with the inmates once a month at least.

AUTONOMY

1. To be able to make independent decisions without influence of others.
2. To be accountable for our decisions.
3. To measure our progress in every aspect.

4.2.2.3 The Equipment for Participation

Nametags: At the onset name tags were suggested to enable easier access to meetings. We had to solved management's concerns about these being abused. A durable tag with the university logo, participant's name and ID number were agreed upon. The logo also served as the group's letterhead. Meeting dates were communicated to units with a name list against which tags could be checked. After the study's onset it was decided that individuals would only qualify for a nametag if they attended three consecutive sessions (also see 4.2.1.c *Managing transfers*). The engagement with this issue seemed to demonstration a professionalism, confidence and pride in the ownership of the study (see **snapshot 10**).

Chairs (KEY: Table 4.1 month 3/1): In my experience chairs are generally not provided for persons who are incarcerated in South African correctional centres. Even the discarded buckets that people typically use for seating are a scarce commodity. This highlighted the ethics of dignity and respect which I starting exploring in discussion with

the HoC and my supervisor. Inside-out Outside-in were approached and they donated 25 chairs for the study (also see section 4.2.1.1.c.ii). These chairs were of immense importance to the group and became part of their identity. As a unit, the chairs travelled through all of the centre according to the study's progression. It was given on loan to weekend events a

missing that the content was not being written down and started to appoint a scribe. This was not a popular role and never seemed to work well (see section 4.2.5.e.v The problem with minutes). Considering how well the sub-group tended to use flip-charts throughout the project, it is only now with reflection that I wonder whether the continued use of flipcharts might not have assisted the core group with their recall and continuity with previous meetings. If we could have put up the chronological flipcharts which they deemed important in the venue – they may not have needed to use somebody for the unpopular (and unsuccessful) role of scribe.

Stationary is scarce and valued in a correctional centre. A box of pens (which eventually became numbered) and exam sheet books were available. In Phase III notebooks were provided for diary-keeping. The participants spontaneously developed a system, with individuals taking the responsibility for the pens. Marker pens were required to be at hand for the group sessions – when various colours were available, the group made good use of these (e.g., indicating headings and sub-headings).

Refreshments provided significant opportunity to use executive functioning abilities for problem-solving, planning and organisation. Applications had to be made, consent forms designed and negotiations done with the kitchen and respective UMs. As it could get hot in the courtyard, an attempt was made to always have cold water available; sometimes we managed cold drinks. Refreshments were served at special events and during the cold winter months we made hot drinks. Only products from the corrections' internal shop were allowed into the centre.

Carrying cases: Two see-through carrying cases were used to transport the equipment. This effort seemed to present clear acknowledgement of the security issues. It was appreciated by the gate staff who soon became confident in recognising and accepting the cases. Eventually one of the cases was left in the care of the participants on a permanent basis.

Marketing posters: Posters are an important tool for communicating and announcing events in a correctional centre. During Phase II it was utilised to make people aware of the group and to recruit participants, giving as much information as possible to assist them in making informed decisions (see snapshots 5, 7 and 11). As a means of showing respect,

attention was paid to the quality of these posters (as with all the material). Once launched, the group developed its own infra-structure for communication. Although they had access to flipcharts, they seemed to prefer direct means of communication sending *runners* around to the different cells.

4.2.3 Quantitative Assessment (KEY: Table 4.1 month 3)

The *transformative mixed methods* elements of this study incorporated quantitative pre- and post-measurements to explore the potential impact of PAR on executive functioning and rehabilitation. By means of A3 posters, open invitations to participate in the assessment were put up in each unit (see **snapshot 11**). Executive functioning was assessed by performance tests and two self-rating questionnaires. Rehabilitation was assessed by measuring changes on a criminogenic thinking self-rating questionnaire (see section 4.5.1 Quantitative data). The pre-assessment was conducted before Phase III and the first joint CM group session. The post-assessment was conducted a year later towards the end of Phase IV.

Snapshot 11: Invitation to pre-assessment

INVITING ALL CELL MONITORS

To assist in the PAR (Participatory Action Research) project as **RESEARCH PARTICIPANTS**

WHEN?
9am **THURSDAY** [REDACTED]

WHERE?
UNIT _____
(Escort will meet you at the Unit door from 8:30)

WHAT WILL I BE EXPECTED TO DO?

At least one or all of the following assessments:

1. Your opinion about some issues.
2. Two 1 minute exercises: one with words and one with designs
3. Two questionnaires about thinking skills (+/- 45 minutes)
4. One questionnaire about criminogenic thinking (+/- 15 minutes)

Refreshments and stationery will be provided.
PARTICIPATION IS VOLUNTARY

4.2.3.1 Translation

In an attempt to increase the reliability of the quantitative assessment it was decided to do the administration in a group format allowing the questions and instructions to be translated in an interactive way. The education department initiated a process by which two inmates were identified as suitable translators. In consultation with the educators and participants, the participants were divided into two language groups. Following the workshops (above) a planning session was held with the two translators for the assessment. This meeting was held in the venue where the assessment was going to take place to plan the use of the venue, to introduce the equipment and to rehearse the assessment procedures. The translators were also provided with a manual containing the written

instructions. Parallel to each other, the two groups chronologically worked through the assessment material in two adjacent rooms (classroom and kitchen). For the post-assessment the one language group felt that they did not require translation into their vernacular language. They therefore choose to join the other group and did the assessment together.

4.2.3.2 Consent, Confidentiality and Anonymity

Following the workshops (see section 4.2.2.2.c), and the distribution of the information booklet, the principles of consent, confidentiality and anonymity were reviewed by the translators at the onset of the assessment. The group firstly worked through the *Consent Registration Forms* (see **Appendix 4.6**) and significant time was taken to assist them in understanding of choices in what they gave consent to and the option to change this at any time. Each participant received their own file with copies of the registration documents. The consent and registration forms were collected separately in order to delink the ID number from these forms. An attempt was made to demonstrate the principles in accordance to the assessment. A large envelope was opened to take out an A3 list of numbers ranging from 1-60. This was provided to the group in which they could choose an ID number to write their name against. They were to only use their ID number on all the various assessment forms. This list was again sealed in the envelope in front of the group. It was explained that it will only be opened at the end of the study to match the number with attendance after which it will be destroyed. Their names would therefore never be matched with both the attendance and their personal data.

4.2.3.3 Benefit for participants

Beneficence was approached in a sensitive way. In a bleak environment such as a correctional centre, it would be easy to have the unintended effect of coaxing or recruiting. For the pre-assessment, as part of the testing equipment, a stationary pack was provided as an indirect way of showing gratitude for the participants' time and effort. This involved:

- cardboard folders (These had the function of holding the assessment material for each participant, and could be re-used once the material was handed in. However, participants continued using the files for their study notes. As they became torn and dirty, they were replaced with plastic folders when we did the post assessment.);

- pen and pencil;
- plastic sleeves (These are valued items in a correctional centre as they protect important documents. They were thus also used throughout the study to present letters and certificates in, for the participants to use as they wished to.);
- Information Booklet (see Appendix 4.1);
- A4 paper.

Following the assessment, a letter of gratitude (see **Appendix 4.7**) was addressed to each participant as well as the translators who had done exceptional hard work.

A ‘*Refreshment-budget Sub-group*’ comment during the *problem-solving* session (see section 4.3.1) reflects the group’s understanding of beneficence: “...reflects back on the beginning, encouraging us. She said that she is doing research, and she is using our time, so that is just also her way of saying thank you for participating.”

4.2.4. The Research Participants

4.2.4.1 Demographic Description

Given the anonymity of participants’ membership the pre-assessment (the ‘*pre-assessment group*’ (PreG)) was the only point at which the demographic data of the participants was recorded. The demographic data was collected from 48 persons of whom 18 pairs could be matched with the post-assessment [the *matched paired post-group* (MPG)]. Attendance levels were recorded for 50 sessions. Attendance levels were available for 20 of the 25 people who participated in the post-assessment (PostG); of these, two had not participated in the pre-assessment. A core group remained consistently involved throughout the duration of the study. Given that the MPG’s high attendance rate ($M_{\text{sessions}} = 41.94$, $SD_{\text{sessions}} = 7.4$, 84% of the sessions) their data should serve as a good reflection of this core group. The attendance distribution of all 48 participants in the PreG ($M_{\text{sessions}} = 26.54$, $SD_{\text{sessions}} = 16.12$) involves 2 individuals (4% of the participants) who attended once, 10 persons (21%) who attended less than 10 sessions and 21 persons (44%) attending less than 25 (or half) of the sessions. Twenty-seven people (56%) attended more than 25 (or half) of the sessions. Fifteen people (31%) attended more than 75% of the session.

Appendix 4.8 provides an outline of the demographic data for both the PreG and MPG groups. The PreG participants’ ages ranged between 27 and 75 years, and their

average age was 42 years. Seventy-two percent perceived their education as privileged and more than half (53%) had obtained Grade 12 (or equivalent). Seventeen percent had some form of tertiary education. Ten primary South African language groups were represented in the group.

The MPG was slightly older ($M = 46.78$, $SD = 9.92$). Although fewer had obtained a matric (Grade 12) (44%), they had more people with a tertiary education (32%). They represented 5 primary South African languages.

These figures are different from what would be expected of a South African incarcerated population where the age and education level are generally expected to be lower (Prinsloo, 2013). Most of the participants served in the cell organisational structure (66%); 4% were not part of this structure but were specifically there to represent their cell and 28% were attending out of interest. The demographic data thus seem to represent the characteristics of the leadership in cells and the persons who were drawn to a study of this nature.

The years of incarceration varied between 1.5 to 18 years ($M = 8.29$, $SD = 5.2$). Eighty percent of the participants had sentences of 15 years and more (19% were serving a life sentence). The two groups, PreG and MPG, were similar in this regard.

Twenty-six percent of the PreG answered 'yes' to the question '*Have you ever experienced an Injury to your head?*' Following the translation of the question, there was a query about how serious an injury it referred to. The translator clarified that a 'small bump or scratch' did not count. Eleven percent of participants indicated that they had experienced a loss of conscious and none reported epilepsy. These results are higher than normal populations (Durand, 2017) and lower than a South African juvenile sample (Badul, 2012). The 61% of the MGP who reported head injury was comparative to other prison populations studies (Shiroma et al., 2010; Williams, Cordan et al., 2010; Williams, Mewse et al., 2010). It should be noted that all but one of the persons who reported head injury remained in the core group. As prior reference had been made to the study's interest in neurological functioning and the brain, it may suggest that this group was particularly interested or motivated to attend. This echoed previous expressions by both the participants and in literature that neuropsychological education was needed for inmates and staff (see section 4.2.2.1.f and Pitman et al., 2015).

Participants were reminded that their responses were voluntary and that they did not need to answer any question they felt uncomfortable about. The table (see Appendix 4.8) indicates the number of people who did not respond to particular questions. Of these, the most non-responses were obtained in response to questions about the highest NQF level in education (11), epileptic seizure (6), privileged education (5) and loss of consciousness (5). The relatively high non-responses regarding NQF level may be attributed to this being somewhat unfamiliar terminology.

4.2.4.2 Manifesting Roles:

Relatively early on in the inquiry, individuals appeared to develop certain roles which gradually became more explicit as the study developed:

The Legitimater: A person with innate leadership took on this role. This was a lifer whose integrity was trusted by both management and participants, giving the former assurance and the latter permission to get involved. He was suddenly 'there' from his own accord, facilitating logistics as a bridge between me and the complex system. Grasping this role gradually, I have also recognised individuals fulfilling similar roles in my own correctional centre. As he was a reliable person for reflection and review, I had to be conscious of boundaries so as to not (unconsciously) exploit him. The legitimator mostly worked in the background, coming forward in new situations as a role-model. He was an excellent communicator - assertive, but with considerable sensitivity to the group's and the centre's dynamics. During the study, two legitimators came forward and were released, with one handing over to another. I maintained contact with both years after the study concluded. When the last person left, this role became shared between a group of participants.

Champions: They initiated taking responsibility, e.g., taking leadership to facilitate activity, the collecting of the pens or looking after the equipment between sessions.

Leaders: These were the confident orators who took the platform with a legitimate status amongst the participants. They also had leadership roles in the centre, mostly as tutors or pastors. Their contributions were often significant to change the group process.

The Chairperson: As many opportunities as possible were initially used to expose different individuals to the role of facilitator. In this role, individuals started taking the lead,

inviting the group to applaud themselves and echoed the 'rules' that were developing: "*No one is wrong here. Everything you did, you did very well, accordingly very good*". With the onset of Phase IV, I invited one of the Elders to be chair, noticing his facilitating abilities and wanting to prevent the group being dominated by the 'Leaders'. Gradually the group appointed their own chairpersons (mostly Elders), who would then hand over the role to others. Towards the end of the study, a crisis caused conflict in the group which was managed by a person best described as 'between the Champion and Validator roles'. As the study concluded, he was democratically elected as the chair of the Ubuntu PAR Group.

Pillars: The most consistent attendees did not necessarily contribute verbally, but clearly engaged. They had distinct opinions which they could express when asked to.

Engagers: When these participants were present, they were always active. They could be critical and often offered (lateral) thoughts that were new or provided a different angle.

Validators: Best described as the 'glue' of the group - they tended to summarise and repeat other's contributions. Their contributions often allowed more persons to participate.

4.2.5 Reflections in Phase II

This phase was characterised by the following issues which highlighted important principles for going forward:

a) *Being 'real' makes executive functioning and ethics application tangible:*

Allowing for making informed decisions based on experience, was already creating a real-life project with evidence of the participants taking ownership of the process. The group's immediate grappling with the issue of boundaries was a reflection of this (see section 4.2.5.c). An important part of the process was the initiating activity, whether preparing/organising the room, writing names (attendance register/labels) or handing out or gathering pens and boards to press on. Maximising choice was initially informed by the ethical principles, but I underestimated PAR as inherently facilitating executive function and the practice of decision making and ethics. Ample opportunity had already revealed: the respecting of, discussion about and listening to differences (prayer), managing conflicts between mutually exclusive options (voluntary/compulsory), problem-solving (e.g., membership, venues, mobility, refreshments, translation). Although I would not have been

able to formulate it as such as the time – being ‘real’ integrated ethics and executive functioning by facilitating ‘the execution of ethics’. Phase II gave us an important grounding to experience how differences and difficulties could be worked with in a meaningful way. There were many opportunities and vignettes to analyse and reflect on ‘how’ these processes were resolved which I thought we could return to. As the study progressed, I learned however, that reflection had to be done either with immediacy or deliberately at a later stage (see below).

b) “Working as one”: Working in a single unit would have reduced the scale and complexity of the community with less factors to deal with in terms of the staff infrastructure, physical arrangements, participant heterogeneity and security. By its nature, the study respected the five units’ eagerness to work together. It appeared to be about more than just the mobility of getting out of units. The richness of the contact with each other was appreciated, it was enjoyable to get to know one another, touched by the similarities of their issues which motivated us to work together to address this. Throughout the study the differences between the different units’ cultures were being recognised and managed. This reflects how the group did not shy away from acknowledging and working with the complexity of reality.

c) *Becoming an open group:* From the onset, there was a tension between compulsory and voluntary attendance. It was required that a space should be created for the participants to explore and understand their own needs in this regard (attendees expressed how important commitment to and responsibility for the group was), as well as the principles which may be in conflict with this (respecting autonomy). A person’s reference to the consent form marked one of the crucial moments when the group understood and owned the study (see section 4.2.2.2.c.i). This was again debated on a few occasions. Attendees were also concerned about people exploiting the group for mobility in the centre and took responsibility for designing and maintaining an attendance register. This was used for membership and statistical analysis (later also the issuing of certificates). On each page the attendance-register stated that attendance was voluntary and that the register was for statistical analysis. Gradually, voluntary group access became more implied and better understood. This was reflected by changes in participants in accordance to the different phases of the study (also see Table 4.1 Attendance section).

The open nature of the group was also linked to a consistent concern about group numbers. Participants wanted immediate feedback from me about the pre-assessment numbers. I translated it as representation: that if there are 50 cells in the centre and about forty persons participated, it provided a good representation of the community. For the group the attendance numbers were a way of measuring success or validity. My attempts to refocus this to content and process never seemed to be that convincing.

d) Meeting with consistency: Being consistent and predictable assisted the participants attendance. People came to know that it was unlikely for meetings to be cancelled whenever there were obstacles, that we may start a bit later, or in alternative venues and that we just needed to ask around. It was not unusual for meetings to have doubled in size by the time they concluded. Tuesdays and Wednesdays became the main meeting days. When we met only once a week during Phase IV, this was always on the same day of the week.

e) Challenges:

i. **Perseveration:** There was a tendency among us to 'over use' our turn to speak. Speaking may have had the function of clarifying our own thoughts. Speaking itself had the executive function of assisting to understand oneself. It involved a lot of repetition. The chairperson often reminded us to be to the point so as to give everybody a turn within the time limit, especially in larger gatherings. It was easily managed in report-back sessions which were given time limits which was managed well. I noticed that my own contributions only got better once the group was functioning independently (Phase IV) and my contribution was less about what I thought and more a response to my 'listening' of the process.

ii. **Owning space:** At first, the larger spaces did not seem to be internalised. Posters were pinned up in close clusters despite reminding everyone to give sub-groups sufficient room (this may be related to factors such as habituation to over-crowding or lack of confidence). When posters were spaced out beforehand, there was no hesitation to use those further away. It is possible that choices of themes could have been made on a pragmatic level, with persons going to where they physically felt most comfortable (causing some themes, e.g., leadership, not to be discussed). This was managed by keeping the

posters in a central pool which participants could choose from to then set up themselves. By Phase III it had become clear that sub-groups had become confident to spread out.

iii. **Safe disagreement:** Although participation was mostly supportive, people seemed to withdraw when an opposite idea was raised. This was related to how well the group knew each other. By Phase IV difference fuelled the group process (see sections 4.5.3 and 5.2) with evidence that there was no shying away from processing disagreement (section 5.2.8 debate about drug abuse). Initially I thought of *thinking hats* to create safer space for critical thinking – but the PAR process (see Chapter 5) deemed this unnecessary. The thinking-hat principle was however used to great effect by Fikile during the ethics education, when she had people defend viewpoints which they initially had opposed (see section 4.3.3 *Ethics Application Exercise*).

iv. **Balancing structure:** It was always hard to know how much to structure sessions in advance versus the group creating its own structure. Structured sessions were enjoyed. It seemed to provide a sense of safety within which people engage well. I was unclear how the group would create its own structure. This was particularly difficult during the onset of Phase IV, when the group seemed somewhat lost. The most useful contribution had been to reflect and validate where the group was at, to frame the story and to re-phrase self-criticism. I only came to appreciate this intervention when I observed how effective it was when other participants did it (e.g., see section 5.6).

v. **The problem with minutes:** The group elected a 'secretary' for minute keeping. This was hard work and prevented the secretary from participating. The role phased out as we started using flipcharts and recordings. I tried to take notes which everybody could see – but this proved to be too distracting. During Phase IV formal secretaries and deputies were appointed, but as before, their attendance became inconsistent. Although a file and note book were provided, this equipment did not develop any value. It would seem that the role of secretary was never internalised by the group. It was a formality which 'had to be done'. Instead, participants tended to bring their own books and to make their own notes, for which paper and pens were also available. New sessions were rather started with an active recall of the previous session.

f) The importance of DCS Officials: From the first contact the importance of working with officials was raised: *“The UMs needed to be part of this project, they should sit in”*; *“We need to have a debate with officials for they need to know what is happening in us. If we have such a debate they can work with us easily. There is a divide....”*

Although I provided feedback to the management of the CMs concerned that the valued monthly meetings (the participants were adamant that DCS does not have the resources for weekly meetings) with their officials should be re-instated, I avoided becoming a spokesperson for the group. My focus to corroboratively develop a new research study had unfortunately approached the correctional staff too much as a means to that end. Although I had realised and reinforced the importance of their inclusion, my DCS experience had blinded me to make this part of the research design. The DCS officials of a particular centre are a complex heterogeneous group. I knew how short-staffed correctional centres are, and understood the complexities of the different shifts. There was a general culture which viewed security staff getting involved in activities which are not part of their everyday security chores as either a luxury or extra work. It was a shortcoming that the study design had not also placed officials at the centre of the study, which I will return to in the final chapter.

g) Race, power, privilege: In one of the introductory meetings, race was raised as an issue in terms of unfair treatment in the justice system. *“This was towards the end of the session (unit) and I needed to start wrapping up as the other session was expecting me at a certain time – but I realised that it was important for the group to experience that race issues are relevant in the group and can be dealt with. The essence of PAR assisted me to bring his contribution closer. I asked how the issues of race were relevant to their work as CMs and referred to the issue of race in terms of my own race and gender and the study. I referred to my privileged upbringing enabling me to do a Ph.D. at this moment in time. The fact that two participants now contributed for the first time, gave reassurance that in some ways, for now, the group did get permission to work with these issues. They referred to other differences in terms of foreigners as well as “homeboys” (fieldnotes).* A better response may have been to say less and facilitate the group more (see section 4.2.5.e.i Perseveration). I may have overcompensated to be transparent and model naming and talking about issues. I gradually realised that this belonged to the group and should not be imposed from my awareness of our different backgrounds. Throughout the study the issue of race was rarely simplified to

'binary racism'. When participants did focus on race during the ethics education it involved expressing and sharing experiences and emotions about the effects and impacts of racism. The group process mostly tended to acknowledge that differences consisted of complex dimensions which had to be managed. This may be attributed to the context of DCS where people of different backgrounds and races are forced together into proximity. Although racism is not eradicated, individuals cannot escape being human together and having to acknowledge the complexity of individual's similarities and differences. There are a few CMs of white race in the correctional centre, but they only attended the introductory meetings. One individual was later invited by fellow committee members, but did not return. By then, the momentum of the study was well underway and it was not explored why there were no further attendance from persons of white race. As the Ubuntu theme was already raised during the study's introduction, it may have seemed less relevant to them. Referring to my own correctional centre, the absence of white participants in voluntary group projects was not uncommon.

Another visible marker of my privilege relative to the rest of the group was the uniform I wore. The rank-insignated uniform was a visual display of power which prompted respect. We had to work out a system to prevent the respect to disempower and to ensure freedom to not only participate but also initiate. Initially, my close attention to others' non-verbal communication cues were required to provide space for their verbalising of thoughts and opinions. This was overcome by participants doing the facilitation. Analysis of the recordings suggested that persons were freer to ask clarification when fellow group-members were facilitating, e.g., on 'reflection': "*Can you just clarify for me so that I understand what you expect from us*". After he answered another participant stated "*I don't understand what you are saying*". There was a significant difference to my outsider position depending on whether I was 'in the group' or 'facilitating the group'. "*Although I interrupt to clarify, he (the facilitator) takes the space back each time*" (fieldnotes). By Phase IV we had all learned how I could participate 'as part of the group'.

The group needed constant reminding and encouragement to participate in vernacular languages. Translation occurred spontaneously, often to the whole group (especially in formal situations). Sometimes, when the group were not translating for all, somebody would translate softly to me. I respected that at times some individuals chose not to talk in English (or even translate) and never forced translation. On one occasion the

translator shared that he found it uncomfortable to translate the painful political and racial content to me. We discussed that people's feelings needed to be validated. I assured him that as a person of white race, I was listening to others' pain about race. This pain was important to be heard. It was this interaction which made me conscious about how feelings were realities which required validation. That was what my hearing, and feeling could provide. Although I could not change reality, listening changed me, and that was a change in the reality (see section 4.3.3.2 Main group discussions). It was only at the end of the study that another possibility emerged. The translator was a younger person, translating the pains from an earlier era – even if he had not meant it consciously, it would have been more useful, had I acknowledged his discomfort as the experience of translating others' pain and the feelings it invoked in him as translator.

From the onset I was touched by how much patience people had with me and the process. Their freedom to walk away did not put them on the receiving end of a power imbalance. Their patience was also them taking agency, allowing for the space to try, for us 'to get it right' and for the study to unfold.

h) *How we address each other:* It is a feature of South African culture, at least in certain contexts, not to call persons by their first names. In the group individuals mostly addressed each other as 'sir' or 'gentleman' or in the third person referring to 'Mr'. The older participants gradually came to be addressed as *Mtata* or in the third person *Madala* and 'uncle'. This never seemed to change, even as people got to know each other more. There was an issue with names. Some persons knew each other from outside by different names than inside, individuals had been given nick-names in their sections and cells. Shortly after the group's launching (Phase III) a participant raised the issue of me being addressed as 'madam', which has overtones of the subservience Black servants were once supposed to show to white 'ladies'. The group's response was to discuss the issues of role and power which are embedded in how we address one another in some detail. I returned to this topic on a later occasion to emphasize the importance of this remark in terms of how these initial meetings were laying the foundation of what we needed to work on. Participants continued addressing me in a variety of ways as they felt comfortable.

i) *Respecting the resourcefulness of persons who are incarcerated:* The participants' agency was evident from the onset with clear ideas about how to manage the

centre. Their resourcefulness was demonstrated with activities such as taking the initiative to make photocopies (a task I found challenging at my own correctional centre) “..there is an important learning curve that needs to happen, especially in this type of environment of really handing it over and giving people the space. It happens in very small ways and I need to continue being mindful of that. Of handing over the pen, handing over the stapler, handing over the process.” It is a balancing act for in the same reflection I also wrote, “..but I had to stick to this boundary (this space is for CMs, but they can invite who they want to, it is not a general leadership course - those already exist)” (fieldnotes). I was aware of the system exploiting incarcerated offenders’ resourcefulness and had to remain sensitive to respecting and balancing it. It was also important to make the participants’ aware of owning and acknowledging their resources, systems and ways of working.

j) Self-reflection: Hearing my own recorded voice was also hearing my need for speaking more slowly, more clearly, more normally (the huge environment calls one to throw your voice), to formulate my ideas better – and to appreciate everyone’s patience with me (see 4.2.5.g). It was hard to do this when I was actively involved (thinking on my feet). I mostly wished that I had said less - all the words were not necessary! On the positive side it communicated my passion, and commitment to the group.

The study developed over a relatively long time, and initially I had regular meetings and communication with my supervisor. The intensity and richness of the groups, and the fast-developing processes was somewhat overwhelming. It was useful to just ‘tell the story’ of this. Supervision was a space to test thoughts and to validate the study. At times my supervisor’s questions required me to stand back from the details and my assumptions and to consider alternative and meta-perspectives of the process. These sessions also served to normalise the difficulties, frustrations and exertion, and to validate the sense of wonder that was occurring at the same time. He first normalised the idea of ‘*beautiful messiness*’ for me. This proved to be invaluable for the rest of the study.

4.3 Phase III REFLEXIVE RESEARCH: Re-Discovering Ubuntu Together

“Knowledge is never fixed: it evolves.” (Minichiello & Kottler, 2010a, p. 14)

Phase III was driven by two parallel processes which were continually reviewed and allowed to evolve:

The first process is summarised in **Table 4.2**. It involved the original aim of the study – applying CRT principles to facilitate the practicing of executive functions to enable potential neuropsychological changes. It worked towards defining a *PAR goal* with material that was relevant to the CMs’ reality. This goal was to become the real-life project which would provide the space for applying executive actions, not as an end, but the means to realising the goal. Data was collected with fieldnotes, recordings and the sub-group posters.

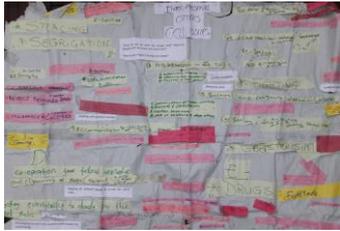
The second process, the *Ubuntu Ethics education* was facilitated by community representative and bioethicist, Fikile Mnisi (see section 4.2.1.1.a). This training is outlined in Table 4.3. It involved a pragmatic approach alternating between didactic presentation, group debate, diary-keeping and reflective writing. The process which Fikile stimulated, was indeed the more valuable of the two and became the pinnacle to the real-life project, as well as a basis from which the following phases of the study unfolded. Fikile’s sessions were recorded, transcribed and translated. These transcriptions were utilised as a reference to describe the education and developing processes and to summarise and outline the emerging themes.

4.3.1 Executive Functioning Workshops (KEY: Table 4.1 months 3-5)

The group launched with workshops that were designed to give a game-like atmosphere, to maximise the use of space and interaction and to introduce the research. ‘Steering teams’ volunteered to take responsibility for the running of each. They were supported by a handout which provided the session’s structure and the various roles of programme manager, facilitators, time-keeper and event closure etc. We realised that more preparation time was needed started utilising the former team to assist with the training of the new team and as observers of their process.

Table 4.2

Executive Functioning Workshops Summary

Workshop	Activity	Comments
Initiation: Brainstorming challenges that face CMs	<p>Initiating timed responses as -</p> <ol style="list-style-type: none"> 1) individuals: three most important challenges; 2) pairs: brainstorming many possible challenges; 3) units: most pressing challenges in respective units <p>Responses were written on three different coloured papers to identify their source</p>	<p>Especially the 3rd activity elicited discussion and debate, e.g., with “sodomy” a distinction was made between consensual sex and rape, sexual orientation and intercourse in the current environment was discussed.</p>
Categorising challenges into themes	<p>Everybody drew the previous workshop’s responses from a pool and organised these on themed sheets:</p> <ol style="list-style-type: none"> 1) Intrapersonal challenges with individuals in cells; 2) Interpersonal challenges that affect everyone; 3) Systemic challenges with officials or DCS 	<p>This triggered much interaction and debate as some people did it in pairs, some groups formed in front of the sheets and people seemed to occasionally consult with each other.</p> 
Prioritising most important CM challenges	<ol style="list-style-type: none"> 1) Individuals chose with which theme they wanted to work on 2) Sub-groups re-organised all the responses on a sheet according to priority 3) The top two of each sub-group were presented to the large group 4) Large group decided on the top three priorities 	<p>See Appendix 4.9 for the integrated results.</p> <p>As no agreement could be reached in the large group, a voting system was developed. In general people found the outcome of this process unsatisfying and that more discussion was required.</p>
Setting goals that are specific, measurable, attainable, relevant and timely (SMART)	<ol style="list-style-type: none"> 1) Facilitator elicited the meaning of the SMART acronym from the group 2) Individuals chose one of the six priorities (see above) to work on 3) Sub-groups each formulated a SMART goal 4) Group reviewed the goals 	<p>Being under-prepared for the task, sub-groups fed back the theme’s importance. It was difficult to rephrase this as a goal. The group worked together on understanding the task. The voting’s unsatisfying outcome was used to allow choice from the top 12 challenges as to re-set SMART goals.</p>
Analysing resources to achieve goals	<ol style="list-style-type: none"> 1) Facilitator elicited meaning of the SWOT acronym (strengths, weaknesses, opportunities and threats) 2) Individuals chose one of the six priorities 3) Sub-group filled in SWOT analysis poster 	<p>Despite having found this difficult, reference continued to be made to the SWOT analysis later in the study. Although not initiated by the group again, some persons utilised it in their personal lives.</p>

Workshop	Activity	Comments
Planning steps toward goals	<ol style="list-style-type: none"> 1) Introduction to a road map from where you are to where you want to be 2) Individuals chose among goals (incl. SWOT) 3) Sub-groups filled in steps on the road map. 	The group reported enjoying this task and felt that they were good at identifying problems and creating solutions.
Solving problems that had thus far revealed	<p>The group developed their own template for problem-solving and were then presented with other models to compare their productions with (see snapshots 12 & 13).</p> <p>Individuals divided themselves into sub-groups and chose the following to work on solutions:</p> <ol style="list-style-type: none"> 1) Access to water during the sessions - minimising risk. 2) Refreshments - managing a limited budget 3) Addressing policy -access to donations 4) Open ended - managing fighting 	The problem-solving and organising groups presented a confidence and buzzing energy with everybody participating. There was also a shift with new persons coming forward to present. At least one sub-group showed deliberate back-up to support their presenter. The audience also seemed to show a different confidence. They tended to test solutions by asking critical questions. The sub-groups' ownership of their presentations manifested in how different members spontaneously answered such questions.
Organising solution implementing	<p>Planning handouts was provided which the groups were free to utilise.</p> <p>Sub-groups chose which solutions they wanted to implement, thinking about how this will be done and who was going to do what.</p>	
Reflection about the group process as a meta-cognition task	<p>Reflection was intermittent between the workshops and usually at the end of each session in an unstructured way.</p> <p>The problem-solving sub-groups tended to have the same members. They were thus asked to reflect about their own process across the last two workshops:</p> <ol style="list-style-type: none"> 1) the facilitation 2) the problem-solving models 3) how the group had used the models. 	At first people lacked confidence with this task. Once the difficulty of 'thinking about our thinking' was normalised, they became focussed and chose to spend significant time on the exercise. As the study developed, taking in a reflecting position and distinguishing between content and process, was recognised and valued. They became more comfortable with this shift and later on insisted on it.
Facilitation Skills	<p>The sub-groups were usually facilitated by a person, who at times also acted as poster-scribe and reporter. To assist with facilitation skills, we explored and practised Socratic questioning in small groups. Participants alternated between the role of facilitator, interviewee and observer. We reflected on what made a good facilitator.</p>	This workshop enabled more persons to come forward to either facilitate or report to the main group. Socratic questioning made a long-lasting impression and people asked for more information about Socrates. This triggered a 'seeding point' which was indeed realised: inviting philosophers to meet with the group.

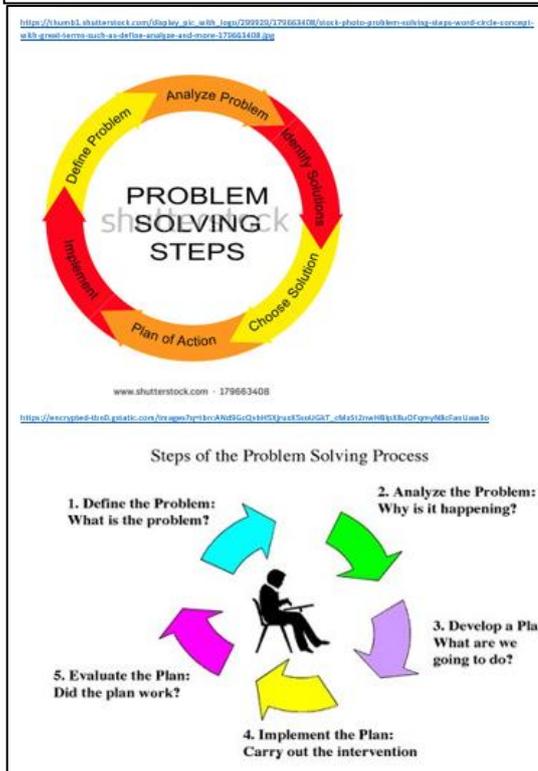
Note: See **Appendix 4.9** Cell Monitor Challenges which integrates the results from the introductory groups, individual priority, brainstorming, section discussions, voting and officials' opinions (initial handouts were provided).

Phase II had demonstrated how group activity could be used to translate neuropsychological exercises into real-life situations. However, when this was built upon in Phase III (Table 4.2) it emerged that this translation collided with real-life. Using real material (CM's challenges) as a means to an end (practicing executive functions) was enjoyed in the group format. People were working with information they knew and felt confident about, using their expertise. The workshops' time-limits gave an energy and game-like atmosphere. But, as the group became more invested in the content, it provided unsatisfactory results when more space was required for process. Their voting and my reporting back of the processed responses (see Appendix 4.9) were giving answers which did not feel right at the time. The sessions developed a serious atmosphere which may be attributable to the executive challenges, the nature of the themes and/or the study becoming more real itself. With group reflection we realised that we needed to go more slowly, prepare more and thereby prevent negative experiences and frustrations. Workshops became extended over sessions, but broken down, in order to obtain a sense of achievement within each session. I was aware that we needed to ensure that the sessions could be enjoyed. I had not appreciated how much the real-life project had already started (this realisation only emerged in Phase IV) and thus felt some anxiety that we were moving too slowly. Opportunities were missed to involve the group in processing their data, which may have helped them to own it more (identifying themes, categorising and counting responses as with the result provided in Appendix 4.9).

Snapshot 12: CM Group's *ibalazwe* for problem-solving

1. Identify: What is the problem?
2. Decide whether it is solvable / people want to solve it.
3. Get to the bottom of the problem (analyse):
 - a. What is the cause/culprit
4. Stick to your principles:
 - a. Remain neutral and open minded
 - b. Stand for what is right even if you are alone
5. Gather suggested solutions as well as alternative solutions.
6. (Choose and implement a solution)
7. Review the outcome of the solution

Snapshot 13: Templates for problem-solving.



4.3.2 Ethics Education (KEY: Table 4.1 month 5/1,3)

Phase II had revealed how naturally ethics could be brought into the everyday working of the group (group membership, how we address each other, group rules, consent, language etc). In Phase III ethics continued to evolve from a theoretical and academic construct into a pragmatic phenomenon that was 'real' in the here-and-now and 'immediate' in its application in the study. The participants were enthusiastic and enjoyed discovering, experiencing and utilising their knowledge of ethics together.

Exploring Ethics Around Us: Referencing

Ensuring that all handouts were referenced I suggested to the group that we should think about the reasons for this. Diverse responses were given, ranging from that it allows people to know where to obtain more information to referring to copyright rules and plagiarism. It was hard to conceptualise the principles underlying these rules. We eventually agreed that this could be *respect for ownership*. A valuable point was made, which we unfortunately did not have time to discuss: *"knowledge belongs to humanity and this should create a tension with copyright"*.

Exploring What We Know: Workshopping Ethics

CRT initiates learning by first stimulating awareness of what is already known. Thus, before the training commenced, we planned a workshop using the fine-tuned facilitation skills (see Table 4.2). The sub-groups worked on four themes: a) Defining Ethics; b) Everyday-life Ethics; c) Ubuntu and d) Human Rights. Sub-group results were presented to the main group, which responded with questions to each 'workshop-panel' (see extract **Appendix 4.10**). People appreciated the complexities, dilemmas and questions which this involved. This increased their confidence to engage in a process they were equipped for. The group looked forward with anticipation to meet with Fikile

Exploring Our Own Ethics: Becoming Self-Aware

Self-awareness can contribute to improving executive functioning. The Ethical Positioning Questionnaire (EPQ) (Forsyth, d.n) and Forsyth's Taxonomy of Ethical Ideologies (Forsyth, 1980) were used to assist participants to become aware of their own automatic or sub-conscious frameworks. This non-judgemental externalising of ethical assumptions and

internal reference could open people to consider alternative options in ethical decision-making. Each participant filled in the EPQ as we worked together, with one person translating each question. A relevant matrix (see **snapshot 14**) was represented on the floor. Together we discussed and placed the concepts by ‘walking between’ the different dimensions. This required collaborating and a lot of ‘team thinking’ which elicited much humour. Sitting around in a close circle (in order to hear one another as it was raining on a tin roof) one participant commented on how a number would be interpreted differently as a six or a nine depending on one’s position in the circle. A rich discussion followed about how people look at reality from different angles and the importance of communicating and listening before problem-solving. It also opened me up more to “*allowing answers to reveal themselves versus forcing them ripe*” (fieldnotes).

Our EPQ results agreed with those of Beukus (2017) who found that the majority of incarcerated participants scored as *Situationists* (high on *Idealism* and high on *Relativism*). This implied a relativist approach to moral rules, analysing situations in an individualistic manner (Forsyth et al., 2008). The results were fed back experientially. Participants received their scores on a card and had to position themselves in relation to each other, first in terms of idealism and then relativism. From these positions, we considered what it may mean in real-life situations. It was unfortunate that I had not scored myself. It would further have normalised how our automatic ethical frameworks can be externalised to enable us to think about it more objectively.

Snapshot 14: Taxonomy of Ethical Ideologies

		RELATIVISM	
		High	Low
IDEALISM	High	Situationists	Absolutists
	Low	Subjectivists	Exceptionists

Within the broader context of the study, ethical positioning seemed to have a lot of potential and ideally more time could have been spent on it. Participants were intrigued by the assessment and interested that there were different approaches to ethics which were valid in their own right. “*What magnificent games can be played with the EPQ? Using the space in four blocks. Letting the blocks talk to each other, people changing places and moving between places*” (fieldnotes). Discussion about the many viewpoints of right and

wrong led to considering different countries signing up to UNESCO's human rights and global ethics. I was asked for more information about this and prepared a handout.

Exploring Reality: Dealing With an Ethical Dilemma (KEY: Table 4.1 month 5/17)

Before the official ethics education commenced, we were confronted with a real-life ethical issue when a participant walked away with the duct tape we had used to make extra clipboards for those who did a lot of writing. The duct tape was retrieved protecting the person's anonymity. I had to plan a safe way to take care of the individual whilst we opened up the issues that are involved for the group to work with. I decided to suggest my plan to the group, explaining our care for the individual (respecting persons unconditionally and protecting his anonymity), the discomfort which dealing with the issue may cause and the relevant sub-group themes. I used two of the group's quotes to validate the principles:

“Ubuntu is all about self-respect before you respect other people. When you respect yourself, you don't care whether that person respects you or he doesn't. But you give the respect to them because you know you respect yourself.”
“It is not how we fall that matters, but how we stand up.”

To keep the individual safe, not distinguish between self and other and to protect us from vilifying him, I utilised how we all shared his position of 'being guilty'. I disclosed that despite having been in court for speed, I had broken the law that morning to be there in time. I shared my own thinking that, that which we are vulnerable to be guilty of, is pre-determined by our circumstances (e.g., because of my neurological resources, gender, my socio-economic background and its outcomes, I am not vulnerable to kill another person, except for very extreme/unusual circumstances). The exercise will thus, not be about who is guilty and to judge, but to think about and to understand the ethics involved in the incident.

The group acknowledged the discomfort that would be involved in dealing with the issue. They felt it gave more reason not to avoid the process, to grow from it instead. I suggested themes for the sub-groups and hoped that it would also incorporate and demonstrate some of the ideas about ethics which we touched upon when we did the EPQ:

a) Rationalising the person's act: The sub-group's discussion developed to make a distinction between rationalising and understanding the person's act. They involved me, which led to a discussion in which I explained the role of these concepts in the psychological reports which we have to write for the Correctional Supervision and Parole Board (CSPB) and the National Council for Correctional Services (NCCS).

b) The rules and principles that were involved: The participants could choose which themes they wanted to discuss. No sub-group gathered around this theme. Unfortunately, the lack of interest in this theme was never explored.

c) Considering the consequences of the action: This sub-group mainly focussed on the individual and did not consider the impact the action had on the community. The group explained that impact on the community would fall under the idea of 'effect'. I gradually realised what an integral part of PAR unpacking of concepts should be, perhaps in all aspects, but most certainly so where there is more diversity of people together. I have learned that if *"you have to discuss something until you all come to one conclusion"* (Fikile explaining Ubuntu) then you have to start with the meaning of the words first.

d) 'Panel of the Elders' (KEY: Table 4.1 month 5/18): I noticed that older participants tended to group when we were more unstructured. The value of elders in African culture had been raised - *"the older you are we assume you are much more morally developed and we will rather keep the older person because you are giving back to society"* (Fikile). Recognising them as a group could contribute to validating their position and assist the individuals' confidence. They were therefore asked to listen to the three groups' presentations. It was hoped that afterwards they could then go into discussion with one another with the presenters as their audience, listening to their 'indaba'. As we had run out of time, this could only happen during the following session. By that time, new persons had joined the group and the elders found it difficult to have an 'indaba' even though they were encouraged to do so in their own language. Instead, they gave their opinions individually and tended to get into a polarised debate (whether or not more information was needed to know the individual's true intentions). Although this intervention did not work as I had hoped, it may have assisted later developments in the group dynamics. Up to this point, the older participants had been relatively quiet and 'unseen' in the group. Some tended to approach me outside the sessions. I was touched by the richness and depth of their contributions, and aware that younger members were more critical of it. Most of the presentation platform seemed to belong to the *Leaders* who were either highly educated or pastors. I was wondering how much this may be one of the unintended effects of my Western presence. By Phase IV, it was indeed these 'Elders' who formed an important part of the core of the group and took the most prominent leadership positions in steering it.

*

By default, the timing of the ethics education was ideal. Participants were thinking about and to conceptualise their understanding to define ethics in terms of what it meant in their daily lives. They had assessed their own positioning and had taken a step back from this. Suddenly we had been confronted with its real-life application. Thus, the Ubuntu ethics education started at a point when the concept of ethics was very real and alive to us all.

4.3.3 Ubuntu Ethics Education (KEY: Table 4.1 months 5-7)

The ethics education is outlined in **Table 4.3**. It encompassed 14 sessions over a period of three months. Fikile prepared a manual in which she mapped out the basic concepts involved in ethics education. She utilised a practical model which involved us keeping a diary, of practicing one Ubuntu ethics value at a time (the one you are weakest in) and sharing these experiences through group reflection. Her open and pragmatic approach allowed the Ubuntu ethics education to evolve into a rich variety of activities. This was informed by the group's responses and interactions within the sessions, the issues that were raised, the access to resources and our reflections during our planning and debriefing meetings.

Main Group Discussions

Fikile's interactive and inclusive style eased the dialogue with her, each other and also one self. Initially the discussions 'circled' between making sense of apartheid, South Africa's racial differentiation, the maintenance of unequal relationships between various cultures' values and the roles of Steve Biko, Chris Hani and Pres. Nelson Mandela. Fikile ensured that we worked more intensively with political issues, by discussing the last two Ubuntu pillars in the main group (see Figure 4.2). She assisted the group to acknowledge how these values are translated into African culture (e.g., funerals) and how they are impacted upon by different political contexts. The discussions touched South African politics (e.g., apartheid, CODESA, the South African Constitution versus the Freedom Charter, government fraud), gender issues (e.g., sexual harassment's disregard of dignity), everyday aspects (e.g., tax) and examples from the incarceration environment. Occasionally the group paused at deconstructing a concept (e.g., respect) or answering a question (e.g., what are the group's goals?).

Table 4.3*Ubuntu Ethics Education Outline*

Theme	Activity Format
1. Morality vs Law vs Ethics	<ul style="list-style-type: none"> • Interactive presentation and main group discussion, debate and reflection. • Open meeting (presentation, Q & A, discussion) with a Senior Prosecutor and post group reflection (see section 4.2.1.1.b)
2. Ethical and moral principles of Ubuntu	<ul style="list-style-type: none"> • Interactive presentation and main group discussion, debate, reflection.
3. Ubuntu values: Care, Kindness, Compassion ['Pillar 1']	<ul style="list-style-type: none"> • Breakaway groups according to your <u>weakest</u> value. • Sub-group activity (see snapshot 16): <ul style="list-style-type: none"> ○ Define the value ○ Describe how it is practised ○ Disadvantages ○ Advantages
4. Ubuntu values: Selflessness, Sacrifice, Loyalty, Truthfulness ['Pillar 2']	<ul style="list-style-type: none"> • Homework: reflective diary of the practical application of chosen Ubuntu value • Feedback: sharing previous week within sub-group and presenting to the main group
5. Ubuntu values: Solidarity, Unity, Reciprocity and Interconnectedness ['Pillar 3']	<ul style="list-style-type: none"> • Facilitated main group activity and discussion (Pillar 3 + Justice, Dignity & Harmony) in which values were (re-defined, unpacked and explored and reflected upon in Ubuntu (community) terms.
6. Ubuntu values: Freedom, Justice, Dignity and Harmony (the most important value) of Ubuntu ['Pillar 4']	<ul style="list-style-type: none"> • Going around a circle with each sharing his opinion (Freedom) • Homework assignments: a) Interconnectedness b) Freedom
7. Community engagement (direct and indirect): <ul style="list-style-type: none"> • Conference participation (Ethics) • Journal article (Ubuntu) • Representative: Justice (Law) (see section 4.2.1.1) 	<ul style="list-style-type: none"> • Facilitated main-group discussions, reflections after events • Interactive Q & A and dialogue with senior prosecutor • Submitted thoughts to 5th ICEE (see Figure 5.2) and watching video of participants' presentations (ICEE 6th, Phase IV) • Homework: a) Presentation about article b) Preparing questions to Justice
8. Practical application of ethical reasoning	<p>Break-away groups prepared a pro-abortion argument to present according to one of the following perspectives:</p> <p>1) Moral 2) Ubuntu 3) Feminist 4) Legal (Group requested legal acts and this was provided with DCS staff's help)</p>
9. Certificate ceremony and post certificate reflection.	<ul style="list-style-type: none"> • Planning, organising and hosting of event • Presentations: <ul style="list-style-type: none"> ○ <i>Ubuntu & the 21 Century</i> (by an older and a younger person) ○ <i>Respect & Ubuntu</i> (by an older and a younger person) ○ <i>Immigration and Ubuntu</i> (by a person from another African country) • Poet recital: <i>umuntu ngumuntu ngabanye abantu</i> • Handing out of certificates by DCS management. • Vote of thanks from the Elders

Interactive Presentations Differentiating Morality, Law, Ethics and Ubuntu

Differentiating concepts empowered persons to understand ideas and also themselves:

- that their morals explain their feelings about a situation,
- that considering ethics involves going beyond their personal viewpoint and
- that laws may involve political influences which can be separated from morals and ethics.

Towards the end of the study participants referred to how meaningful it was to distinguish between law, morality and ethics: *“I didn’t have a broader perception about what is right and Ubuntu and how it all hangs together. I thank you for this programme”*.

The stimulating and challenging way in which Fikile introduced Ubuntu to the group opened up the transformative potential of the study. She did not steer away from controversy and allowed for debating and tolerating tensions. The approach she developed considering the purpose of the study, is best summarised by this remark she made half-way through the Ubuntu ethics education process:

“The more you speak the better it becomes ok. The better you start thinking about it. Whether you are correct or not correct are beside the point here. There is no correct and incorrect, I am not interested in the right and wrong. I’m interested in hearing your point of views. And you speaking out, speaking your mind and using your frontal lobe to think it through, because eventually that’s how you deal with matters, that’s how you deal with situations. Give examples as well.”

Practising Values and Reflecting in Sub-Group Discussions

The actual and deliberate practicing of a specific value for a week, was perhaps the most liberating and empowering experience of the education. It replaced the all-or-nothingness of ‘being a good person’ which sets us up to fail. It allowed our imperfection to be what made us perfect humans, people who are ‘becoming who they are (through others)’. The power of this is best captured in member-checking with Fikile of a significant moment:

“In addition to this he also called his children and asked for their forgiveness and told them how much he loved them. He was actually a bit teary when he was sharing this experience with us, and how he felt the anger in his heart disappear as he was doing this and actually practicing CARE, even with his fellow inmates. He also shared that for the first time he cried in front of his children and when he was on the phone with his mom, and said this would have never been possible

without us doing this training and actually having to practise the values, it pushed him out of his comfort zone.”

An analysis of the transcribed sub-group discussion about the Ubuntu value of *Care* demonstrated the depth of processing which occurred in this modality:

- Participants shared practical **examples** in their cells (e.g., providing coffee for a ‘new-comer’) and then engaged in **critical analysis**.
- In sharing the thinking behind their actions, they opened up the **complexities** involved with social behaviour (e.g., dependence, boundaries, limitations, culture) and how **consequences** manifested on different levels (e.g., self, other and community, short and long term, political).
- Concepts were **deconstructed** *“but I think we are missing interpreting our understanding of caring”* (e.g., caring versus sharing, care is a concern, caring is not handing out), **debated** (e.g., caring with conditions, with or without actions, caring as an investment, caring versus responsibility) and **defined** (e.g., Ubuntu caring).
- The group also moved their focus from analysis to **development**. *“How do we grow the care in us? What part do we need to touch in us that will help us grow the caring part?”*

Within the sub-groups, attention automatically shifted between content and process. Participants often took a step back to manage the facilitation process, to do task allocation, define goals, structure time, and plan their presentation. These steps were often accompanied by anxiety, though. It may be that the awareness that there was a time limit, a product (see **snapshot 15**) or a potential audience, caused an urgency. I observed less such anxiety in the main group, and wondered whether the act of being divided itself, caused anxiety. It seemed to create an inherent responsibility towards the main group and a fear to fail or to disappoint. This could at times be contra-indicative to the sub-group group process and affect their productivity.

In this more intimate space, participants spontaneously referred to their previous learning to assist them: *“rather let those who have it, rather just drop the idea, because this is brainstorming, we are just dropping ideas and then we will decide”*; *“As it had been said already, ah, there is no right or wrong answer”*. Some could quote directly from the manual *and it says, ‘your sickness is my sickness, your wealth is my wealth’* “. How they were

learning from each other was reflected in the main group. *“I love what my brother has said when we were in the meeting. He said justice is not written in a book, what is in the heart. Now I love that. Now the same thing with kindness.”*

Snapshot 15: Poster from some ‘Ubuntu Pillars’ sub-groups	
<p style="text-align: center;">COMPASSION</p> <ul style="list-style-type: none"> ● Definition: <ul style="list-style-type: none"> ○ Compassion is a element of goodness that encompasses sympathy and empathy whereby an individual feels the <u>pain, joy and happiness</u>, that <u>othe</u> other person is feeling. ○ It has an element of <u>kindness</u> and <u>care</u>. ○ It is a quality you show to other people by putting yourself in their shoes. ● How do you practice compassion? <ul style="list-style-type: none"> ○ Do for other people what you would have wanted them to do for you if you were in their position ○ Celebrate other people’s achievements ● Disadvantages of compassion: <ul style="list-style-type: none"> ○ Practicing compassion doesn’t mean you will be protected. Those you assist may still harm you. ○ Those you assist can easily take advantage of you ○ It can be viewed as an element of weakness ○ One can suffer from burn-out from too much compassion ● Advantages of compassion: <ul style="list-style-type: none"> ○ It makes one to feel good by helping others ○ It makes you appreciated by those you help ○ It may set a good example for others to follow ○ You may earn respect by helping others ○ It can save others in their predicament ● What are the fruits/results of compassion? <ul style="list-style-type: none"> ○ It can change people’s <u>lives, behaviour, attitude</u>. ○ It can make those who are assisted <u>valuable and relevant</u> ○ Bringing out the best in people 	<p style="text-align: center;">SACRIFICE</p> <p>Definition:</p> <ul style="list-style-type: none"> ● An act of giving up something you <u>value</u> of the sake of something <u>more important</u>. ● <u>Sacrifice</u> is simply placing preference in order of <u>importance</u>. That include risks. ● Sacrifice under <u>Ubuntu</u>, is doing something without any expectations nor benefit from the entire act. ● There may be benefits that comes with sacrifice but, the main aim was not to benefit yourself. <p>Advantages:</p> <ul style="list-style-type: none"> ● It encourages harmony within the community (legacy) ● It makes those who sacrifice stronger (morally) ● It makes those who sacrifice earn respect ● It makes those who are sacrificed for realise their value. <p>Disadvantages:</p> <ul style="list-style-type: none"> ● People may have a sense of entitlement to his sacrifice ● Risky and there is no guarantees. ● It may be costly: <ul style="list-style-type: none"> ○ Emotionally ○ Psychologically ○ Physically ○ Financially ● It may be fatal / may lead to death ● One may lose his /her dignity/respect ● Abandon your plans ● It may be destructive. <p>How are we going to grow?</p> <ul style="list-style-type: none"> ● Focus on what to give, rather than your loss. ● Move away from “I”, but rather “Us”]

*

Deciding which Ubuntu value you are the weakest in involved taking a step back from yourself and some self-awareness. There were two inherent positive elements to this task. Firstly, that what we are ‘weak in’ was not shameful or negative. Secondly, that sharing it in a group normalised a human position and gave a sense of community. Furthermore, practising for a week, also implied that change was possible, that it was not a stagnant trait.

In executive terms, the *practice* of a value, immediately externalised it into a behaviour over which we have control and which we can choose to enact or not. In my own experience of doing such a task, in my case, practicing *Compassion*, I became aware of my perception changing. I was looking at the world through compassionate lenses, searching for opportunities to practise compassion – my world changed, because I was looking at it

differently. It was also so much more empowering that the focus was not on what should be avoided, but rather on what was ideal.

Reflective Writing

Fikile explained her invitation to do various writing exercises. Writing was a key to self-understanding and self-validation. Writing was a personal activity which persons could do in their vernacular languages. It slowed us down, gave us time to 'think' and provided special access to our executive functioning and meta-cognition. Despite the fact that this was a voluntary activity which was not checked - the group seemed to take the writing seriously. She praised the quality of the content of the written material she was given, stating that it was also influencing her own work. The tasks included:

a) Keeping diary of practicing specific Ubuntu values. Fikile disclosed her surprise and pride at reading her own efforts to practise *Kindness*. Some participants continued keeping a diary about living an Ubuntu lifestyle (see section 4.2.3.3, equipment). In this regard, at least one participant shared quotes from his diary in Phases III & IV.

b) Submitting assignments created a reflective platform to launch deeper discussion from. The participants were first invited to write a paper about "*Ubuntu Interconnectedness*". It had to start with discussing African people (the group created this part of the instruction) and then interconnectedness between people of 'black' and 'white' races. When the group was asked to give feedback about the challenges they experienced with the task, it triggered deeper discussions with the clearer political focus which Fikile was hoping for: considering the implications of economic inequality. The second assignment was "*What it means to be free in the community*". This led to a focussed discussion about freedom in terms of individual agency.

c) Spontaneous letters were randomly given to Fikile in her capacity as a community representative. They seemed to stem from participants' 'need to tell their story'. It helped Fikile to get a sense of the individuals and it most likely allowed the participants to feel connected with her. The letters were confidential and gave people the opportunity to express thoughts and tell stories which the group process had not provided space for.

d) Formal writing: Following the empowering impact of an academic article about Ubuntu (see 4.2.1.1.c.i. Academic authors) Fikile raised the awareness of writing as a communication with society and an accessible political tool. Not only had the group developed a sense that they had much to say that was worth listening to, but indeed that they could dialogue with authors on their level. They felt that they had a definite contribution to make, which could improve the author's texts. It is only with the hindsight of Phase V that I can appreciate how they engaged with the reading of the text as *indaba* – they were connected with a dialogue, had owned it and were developing it further. Therefore, they wanted the authors to come and talk to them. His/her text, had become 'our' text. The group was able to engage in the act of writing and being heard on the academic level when I presented a paper at the 5th ICEE (see section 4.2.1.1.c.ii). Their messages were handed out to the international audience it was intended for (Figure 5.1). It would have been ideal for participants to see themselves in writing while the study was ongoing. Fikile published a paper about her work after the study was concluded. I am planning to provide participants with written evidence of their story once the thesis is finalised. This would be for both those who may still be incarcerated at the same venue and those who gave consent and addresses where they could be contacted after release.

Community Engagement

The study's community engagement aspect was mainly represented by Fikile in her role as bio-ethicist. Gradually, other potential opportunities continued to reveal. We also became aware that the 'outside' could be 'brought in' in indirect ways. This was mostly demonstrated by the strong impact which working with the journal article had (see section 4.2.1.1.c.i; KEY: Table 4.1 month 6/9) and the group referring to the author by name. In the same way they were 'taken out' with a conference presentation. The climax was reached when two participants' abstracts were accepted at the 6th ICEE (see section 4.2.1.1.c.ii; KEY: Table month 17/34 5.&6.). The group was physically represented outside by presentations to an academic audience. The video of their presentations could be taken back in to share (see Appendices 5.1 & 5.2; KEY: Table 4.1 month 17/35). During Phase IV a group of philosophers continued their reflection about Ubuntu and the testing of its value in their everyday life and the world around them (see section 4.2.1.1.c.iii, KEY: Table 4.1 months 12, 13). This experience demonstrated how much the group had to offer inclusion to society

(see section 5.3.1).

Ethics Application Exercise

A spontaneous early debate revealed abortion to be a contentious issue which touched many other topics: e.g., that it is not 'Western' in origin, feminism, rape, the concept of life, paternal rights and its legalisation. An opportunity was created to 're-process' the theme of abortion: participants were invited to practise the application of ethics using a pre-allocated viewpoint to formulate their pro-abortion argument (see Table 4.2, row 7). Once participants disregarded their morals to work on the task, they experienced insightful understanding of the difference between ethics and morals. The sub-group in which I participated gradually got better

at 'sticking to the rules' as individuals pointed out whenever we lapsed into moral arguments. Some individuals expressed their amusement that having made a feminist argument affected their initial opinions (see **snapshot 16**). A few participants expressed their surprise about how liberating this experience was for them.

Certification Ceremony

Ending ceremonies and certification are important in DCS. This was itself critically discussed. As the training was concluded at the end of a year, it led to a natural closure event. The group organised, planned and hosted it with both Fikile as the community member and the DCS staff as guests. Based on the quality of their writing and/or

Snapshot 16: Poster of ethics application exercise	
<u>FEMINIST – Pro Abortion Argument</u>	
Definition:	
<ul style="list-style-type: none"> • Person(s) who see things from a female perspective • Person(s) who feel we should be equal • Person(s) who is in support of woman's rights 	
Challenges:	ABORTION:
<ul style="list-style-type: none"> • Stigma (e.g. broken family ties) – losing dignity within the community. • Illegal abortion consequences (counselling) • Fatherless children • Financial challenges: 	<ul style="list-style-type: none"> ○ Education = community campaigns • Pre- and <u>post counselling</u>
Reasons:	Illegal abortion awareness of consequences:
<ul style="list-style-type: none"> • Underage • Rape • Fatherless • Lack of support • Psychological effects • Parents • Career 	<ul style="list-style-type: none"> ○ Unable to give birth again ○ Womb cancer ○ Death ○ Psychological effects ○ Emotional effects
Solutions:	Fatherless children:
<ul style="list-style-type: none"> • Stigma: 	<ul style="list-style-type: none"> • To avoid fatherless children, women should be allowed to abort when necessary.
	Career / Poverty:
	<ul style="list-style-type: none"> • Woman/girl children should be allowed to abort in order to further their studies/advance their careers.

engagement in the group, Fikile invited five participants to do a presentation. In this way, themes that had been raised in the training could be further processed (see Table 4.2, row 8). Both an older and a younger person presented, to represent different angles which give a greater sense of 'wholeness' to each topic.

Inviting **DCS managers** reflected the desire to work with DCS staff. Importantly, it also made the group visible to staff. This served to legitimise them and to potentially provide a platform for shared ownership. To make the most of this opportunity, and to add to the ceremonial atmosphere, all the managers participated by handing out the respective certificates.

Certificates were important and provided concrete evidence of the ethics education process. An official certificate format was used and printed in colour on high quality paper. We had to deal with the dilemma that some participants only joined towards the end of the training, whilst others had 100% attendance. Consequently, the attendance registers were utilised to determine cut-off points, grading the certificates with silver or gold emblems. Participants who attended once or twice received an official letter acknowledging their attendance. It would have been ideal if the group could have been involved in the making of these decisions. The issue of certificates warrants further reflection. It created an ethical dilemma needing to balance beneficence (receiving training) and unintended coercion (receive a certificate). The issuing of certificates was deliberately underplayed with the introduction of the study. The issuing of certificates for the Ubuntu ethics education was addressed to ensure that this did not become an incentive for further participation. It was made clear that the purpose of the group in the following year would be about the application of the training. Some individuals were confronted with a difficulty in shifting from doing a course in order to get a certificate, to using the space as an opportunity for personal growth. The participants in Phase IV critically referred to this as DCS's "**certificate culture**":

"People like always something. They want to get something from the course. They forget about themselves. But the real purpose of us being here, is not about the certificate, of what we have, it is all about us, who are inmates. What we can do, to change our lives. Not a piece of paper, which I can put it there somewhere, when they see the paper, see me, as a teacher person."

It was not clear whether the final part of the event had been planned or occurred spontaneously. The occasion was concluded with each of the Elders standing up to give a

final vote of thanks. This recognised Ubuntu, heritage, and ownership of the event. In turn, the post-certification debriefing event provided a less formal context for individuals to reflect about the process and express their opinions about the training (see section 4.5.2.1.b). It also had the purpose of both closure and providing a sense of continuity for the year ahead. The main themes from these two events are summarised in the Results Landscape (Chapter 5).

Seeding point: Developing an Ubuntu Ethics Manual for CMs

The transcriptions can be re-processed with Fikile's original handout into a manual to assist Cell Monitors to facilitate their own Ubuntu Ethics groups.

4.3.4. Reflections in Phase III

a) *Ethics Energises:* It had become apparent that the ethics involved in dealing with real issues invigorated people – “*despite the difficult environment there was a focus and energy present which seemed of a better quality than usual*” (fieldnotes). Even before sessions, the group would spontaneously engage in the critical analyses of an ethical issue (e.g., see above re abortion). The group easily shifted between debating racial and cultural issues, real-life and societal manifestations and analysing consequences, controversies and contradictions. The richness of the themes that emerged from these discussions seemed infinite (See Chapter 5.2). Though not contributing directly, I could personally experience how this process elicited emotions, awareness, reasoning, opinions and shifts – that participation also occurred internally. I experienced Fikile's facilitation at times moving us beyond the ‘controversiality’ of the issues, towards what appeared to be underlying it – a pain which required to be communicated and to be heard (see 4.2.5.g Race, power, privilege). It was only in Phase IV that I understood and appreciated that ethics *was* our real-life project. In Phase V I came to conceptualise the capacity for ethical decision-making of individuals and groups as central to rehabilitation.

b) *Owning the Study:* Throughout the process I was sensitive to and tried to document behaviours indicative of the participants taking ownership, from preparing the venue beforehand to them giving me structure: On a rainy day “(t)he fact that the majority

of people were waiting for the group despite the weather seemed to be some testimony of its significance. They told me what the solution was (about an alternative venue) and what I needed to do to enable access to this” (fieldnotes). Documentation assisted me to focus on amplifying the process. I learned to hand over the problem-solving (e.g., deciding on how to use the session, choosing the agenda for the day). As our agenda became longer and more complex, we chose how sessions were to be used. Instead of me providing the structure, we started planning sessions together. The most useful part of my role was to cue reflection to make processes more conscious and relevant to their roles as CMs. Group members took initiative to manage the environment (e.g., noise levels) and took responsibility for the group process. One *legitimator* was concerned to ensure the authentic quality of the responses to the EPQ; another legitimator “*made an effort to ensure that different people in the group get the opportunity to give feedback. He remained sensitive that they got the necessary backup when presenting”* (fieldnotes). The group developed their own model for the sub-group feedback which reflected a pride in their product. Sub-groups sat behind their spokesperson as a panel. Their solutions were ‘interrogated’ by the larger group – to which the whole panel responded. This not only elicited humour but ended with applause and positive feedback from the main group. The group had come to develop its own ‘culture’ which was less ‘vulnerable’ to the correctional centre’s functioning e.g., activities legitimately continued despite the correctional centre locking down earlier.

c) A Journey of Discovery: “*An Elder again mentioned feeling ‘confused’ at first and how he has realised this is ‘a journey of discovery’”* (Fieldnotes). Participants explained that this way of learning was something they find useful. It was not about who is right and wrong, but how everyone could be respected in making a way forward. This was more than just a compromise; this was choosing a better alternative. It was already Ubuntu at work - though it was not yet coined as such.

Initially the process led me to ask more questions than getting answers. The outcome, would however suggest that during these first three phases the constant asking of questions allowed the study to unfold in a meaningful way. The questions seemed to develop clearer awareness which were sufficient to remain ‘in-tune’ with a meaningful group process. It was difficult to take notes, since it disengaged me from the group. I learned how valuable it was to just ‘stay with the group’. By setting the planned agenda

aside and staying with the content which the group spontaneously offered, rich data and re-occurring themes emerged, which I only came to understand during Phase IV.

This journey required membership of three interconnected teams:

- i. Fikile and me as the outsiders, who shared responsibilities and resources to enable a systematic and reflective development of the process. Thinking together about what was happening and how to go forward, we also supported each other with the two realities of inside and outside which we were negotiating with.
- ii. The inmate team who 'make things happen' and had spontaneously developed their own roles and routines.
- iii. The DCS staff team – more distant, but making things possible and able to happen. By the time I had entered the centre, persons who spontaneously came forward, would already have updated me that we had a pressing issue of a group member being transferred or whether there would be any difficulties with the meeting that day.

Although it would seem that individuals from the staff group were acknowledging the programme, it was not clear how to involve them more. This remained the most serious shortcoming of the study (see section 6.3.1).

d) *III Health:* Participants could often not attend because of sickness. During the time of the study a few participants were admitted to hospital. Some of the physical problems were related to older injuries that were acquired before their arrest, during their arrest and during incarceration. As the participants had limited contact with each other outside of these meetings, information about individual's health would often only reach us once individuals were able to attend again. Given the small sample of individuals that were involved in the study, the number of participants who had been impacted by relatively serious physical conditions seemed significant. The issue of physical health took on a focal position during Phase IV (see section 5.5).

e) Receiving Tangible Documents: Receiving tangible material (e.g., handouts, articles) was of significance for many participants. Especially Fikile's Ubuntu Ethics Education, revealed how meaningful *material from outside* was. The manual was something that people could read beforehand and share. Coming to the group, informed decisions were already made. Because it was often referred to, it was clear that it was read and re-read, discussed and re-discussed and caused a hunger for more. This was reflected by the participants directly asking the philosophers for reading material. We gradually built-up a small 'resource library' in the group's see-through carrying case which had remained in the care of one of the Elders.

f) Respecting the Resources of Community Representatives: The community volunteered their resources and I was sensitive not to unintentionally exploit this. It involved being at the centre early enough to warn Fikile not to come if we were not going to be able to work productively. It was important that also being mindful of her reality developed the study in a responsive and just way.

g) Self-Reflection: Learning to *experience* Ubuntu had significant impact on my personal ability to cope with the ethical dilemmas. I experienced a moment of emotional insight on a day when I was confronted with an official constantly shouting verbal abuse at the inmates whose particulars he had to process. This occurred in front of a number of other staff and inmates. Entering this situation as the person with the highest rank had important systemic implications. If I did not intervene, I would condone the continuous verbal abuse; if I did, my demographic position would result in the staff member feeling disrespected. Such a dilemma was not unfamiliar in this context. I could attribute my helplessness to the limitations of my Western ethics which tend to polarise. Once I drew on the resources from the Ubuntu ethics education, it immediately presented me with the option of not choosing between options, but how to include both *rights*. Telling myself to "just think Ubuntu" opened new possibilities; instead of thinking, I could immediately feel the action that was necessary, allowing me to curiously step into the situation next to the most vulnerable person, without showing any judgement to the other. This presence acknowledged that I realised that something difficult was occurring, and that we were all there to make it better (this thinking, and conceptualising only followed after). Without any verbal contributions from my side, not only did a destructive process change, but an alternative way of relating

commenced which continued to develop between the staff member and me for the remainder of the study.

Even as I write this, I have many questions I would have liked to ask. What did it mean to the participants that Fikile and I, two women with obvious differences, walked into their world together? During Phase III I have come to realise that these are only my questions – that they would have impeded the group process and taken up our limited space. There were more valuable developments happening: the asking of their own questions, the telling of their stories, the group’s reflections and discoveries. I was aware that, as our relationships developed, so did, in many ways, vulnerability – participants would have tolerated my inquiries more and felt more obliged not to stay away from sessions. I became more sensitive about what it was I wanted to know, and aware that this was not the main focus of the research. What was happening, was the most important, and I had to learn about becoming part of what was happening more than observing, studying and facilitating it.

I was impressed by the insight and metacognition at the end of a planning session where a participant volunteered his summary (see below). In my initial fieldnotes it seemed to resonate with the study’s central premise of inclusion: *“Communication - creating links with the community - not exclusion - communication is relationships.”* It was only in Phase V that I realised another possibility: I have been presenting the group with a very Western way of fragmenting, organising and separating things and ideas in the world. The participant’s words started to reveal an alternative worldview – a worldview which better integrates and synthesises what we have been doing. In the same way my attempt to identify *Emerging Models of Ubuntu Application in a correctional centre* (see Table 5.2) must have felt strange to the participants, who would have been more inclined to experience Ubuntu as an integrated phenomenon. This may explain the non-response to my preliminary report outlining the different models of Ubuntu, which I since disregarded. In the next two phases I learned to think of relationships as the main currency of the synthesis. This most likely explains (though does not exclude the metacognition and insight) of the participant’s expressed focus on communication:

“ I have discovered that, when it comes to identifying the steps to take as a group, the prioritising part of what comes first and what comes after which, it becomes difficult when we are a group. Because we do not value things according to the same scale. But none the less, above all, we discovered that communication is a tool. It is not only meant to convey a message, but communication goes beyond

just conveying a message, because all these other goals that has been said, in order for them to be achieved, there is a greater need for communication to be implemented for all these goals to be achieved, communication is very essential. We want to fight gangsterism - we need to talk to people. We want to empower people - we need to communicate with them. And in order to do that, to communicate effectively, you need to be disciplined, you need to have discipline. The only way to do so is to communicate - how people should behave. Communication is the essence and the basis of all these other goals.”

*

Because this inquiry not only utilised PAR as a research methodology, but also as the intervention to be studied, the analysis and interpretation of the process is reported after its application. However, it had seemed artificial to separate these phases in the reporting of them. The analysis and interpretation itself provided a way of telling and ‘demonstrating’ our PAR story.

4.4 Phase IV PARTICIPATORY ACTION RESEARCH: “Learning to Do by Doing It”

This space of radical openness is a margin – a profound edge. Locating oneself there is difficult yet necessary. It is not a ‘safe’ place. One is always at risk. One needs community.

Bell Hooks (1984, p. 149) in Fine et al. (2003)

The highlight on which the previous phase ended could have concluded the study as a successful intervention: A group of CMs had participated in an Ubuntu Ethics course which impacted them in a meaningful way (see section 5.1). However, the enquiry’s focus on sustainability gave it a more longitudinal view. What happens after training? How is what is learnt applied? A real-life project was to be created which could provide a platform for both practicing executive functioning and enabling more opportunities for community engagement. Phase IV (KEY: Table 4.1 months 8-18) formed the core of the PAR with the group taking responsibility in terms of the inquiry. It involved a smaller group who was committed to taking on the identity of researchers. The process started with a new year and included 30 sessions over 11 months with the participants exploring their purpose. A shift occurred from searching for an external goal to building on the self-awareness which had started to develop in the previous phase. The Ubuntu PAR Group ‘became a purpose’ and this was about what mattered in the everyday functioning of incarcerated persons’ context. As the group’s process itself became ‘more real’ so did struggles, the pain of their reality, the dynamic conflicts and the impact of their system. This phase was characterised by dealing with real issues, problems, life-events, conflicts and achievements. The

consequences of not sufficiently involving the correctional staff revealed and demonstrated a clear need for this to have been part of a research design. The process ended with a crisis through which the group defined itself (KEY: Table 4.1 month 14/27). The importance of this moment in the PAR group's history and also the study's development is reflected in my effort to pay specific attention to the analysis and interpretation of this event as an outcome of the study (see section 4.5.2.3.ii, Figure 4.3; section 5.3.3, Figure 5.5.a-b).

Phase IV's 18 transcribed group sessions provided the main data for analysing the study. This analytic process is described in Phase V Transformed researcher (see section 4.5.2 Qualitative Data) and the interpretation is outlined in Chapter 5's Landscape of Results (see section 5.2 The PAR Process, section 5.3 Discovering Ethics as the Essence of a Rehabilitation Model, and section 5.5 The Things That Mattered).

4.4.1 Where to From Here? (see section 4.5.2.3 for the analysis method; see section 5.2 for the results and interpretation)

The new phase started with gathering in a circle which gradually got bigger as people joined in. We had to define a goal to work on, and at first tried to keep the possibilities open. On a neuropsychological level this was similar to an initiation task, filling of a *tabula rasa* - one of the most challenging activities of executive functioning. We had underestimated how difficult this would be to do as a group and were taken aback that we still had no direction after the first couple of meetings. After phases II and III had provided clear structure, the triggers, themes and topics now had to be created. New persons had joined and a few were pushing personal agendas which seemed to represent people's fears after being released. Goals, focussing on external resources over which participants would have little influence were expressed on an unrealistic level, as if anything could be possible, e.g. people wanted employment upon release or access to start an own business. Some individuals were disappointed at the lack of structure and made a conscious decision not to attend the sessions anymore. The group felt lost. Reflection with my supervisor proved to be crucial during this time. It enabled the group to acknowledge the process and most importantly (perhaps even more so to an incarcerated population) to normalise it. Recognising and explaining the struggle and why it was difficult (also in neuropsychological terms) was re-empowering. It prevented the attributions of failure, which is crucial for effective neurological change (Wilson et al., 1994; Wilson & Fish, 2018).

The core group, having been established by this time, had to experience and believe in their own process, as referred to in the title of this section: *“Learning to do by doing it”* (Freire, 1982), Occasionally it was stated out loud, as if to test or remind ourselves that this was true: *“I like the manner in which this group is run. Because we are at liberty, we are at liberty to choose the direction where we want to move.”*

The focus remained on relapse prevention and changing mindsets with Ubuntu (see section 5.2). As in the onset of phases II and III so also Phase IV started with the participants expressing their concern about substance abuse of the young persons in the centre. By the end of the enquiry, the group would have returned to their concern that this vulnerable group was not benefitting from incarceration and took it upon themselves to start addressing it (see section 5.2.1.8).

4.4.2 Structure

The group’s initial tension, debating what to focus on as a goal, was relieved when I suggested changing the activity somewhat to everyone brainstorming as many possible questions about the relapse themes that were recurring: a) THEM: Community; b) US: Social capital; and c) ME: what can I do? A different focus on questions instead of answers seemed liberating and was sufficient to energise and re-motivate the group. Reference was made to action research’s model, which the group had rephrased as *“action, review and decide”* and this was used to justify Ubuntu as a main theme for the group to review. The Elders became more confident about giving direction and started taking a leadership role in the process.

Working as a group, doing more planning, developed a sense of ‘too-much-to-do’. Subsequently, meetings were extended to using a morning a week.

The chairperson’s role became more substantial, they clarified priorities, planned with the group how to use the session and facilitated the structure for the following meeting.

4.4.3 Environment

Phase IV developed against the backdrop of the correctional centre having become unbearably overcrowded. It was a time of significant changes and general tension. Participants constantly had to manage the unsettling confrontation of transfers. Individuals could often not attend because of pre-release programmes, illness or educational issues. A

destructive systemic process which had started before the study, had gradually escalated over this period causing significant mistrust in the system. (Following the conclusion of the study, this was also reflected on national levels). The tension felt like a wave which would build up to a point of some confrontation between inmates and staff, then release and then build up again. As a consequence, participants remained alert, and even hyper-vigilant. At times the group discussions were about trying to make sense of events so as to 'keep their finger on the pulse'. The impact of this reality is reflected in the analysis (see sections 5.2 & 5.3). Despite the constant threat of chaos, the staff and inmates continued to steer through the complex systemic processes that were occurring on various levels.

4.4.4 Self-Reflection in Phase IV

I utilised Morse and Field's (1996) outline to structure my fieldnotes focussing on the preparation, context, content, impressions and questions. Using this to facilitate reflection assisted me in becoming aware of and to address intuitive and automatic responses, participating in this process. "Less is more" required constant reminding in order for me to limit my verbal contributions throughout the study. It was hard to balance the need to participate actively in the group with the need to avoid unduly influencing what the group chose to work on. As was the case for all group members, my participation was based on a unique role which I tried to understand. Like the other participants I tried to be open to 'read' the group in order to try and judge how my participation could be useful. There was ample evidence that if a contribution was important and of benefit, the group would utilise that (e.g., Chapter 5 The Things That Mattered). My most useful contributions seemed to be those linking with previous groups/contributions, facilitating clarification, sharing neuropsychological and criminological knowledge, rephrasing contributions, normalising processes, summarising, becoming specific, and acknowledging processes. However, I had learned that participation was about much more than contributing. The most useful participation was to be fully present, experiencing (and believing in) the group process together.

4.5 Phase V TRANSFORMED RESEARCHER: Analysing and Interpreting a Process

“Individuals cannot accomplish change of much note by themselves, and they cannot change anything unless they change themselves at the same time.”

McTaggart (1997)

This section demonstrated the attempts to analyse and interpret the data within a transformative research framework, reflecting the processes of transformation itself. The predominant use of *bottom-up* approaches resulted into a *Landscape of Results* (Chapter 5) including both the story of the journey (Chapter 4) as well as the quantitative and qualitative findings (Chapter 5). In many ways it is also the story of how working with and *listening to* the data, transformed me – becoming aware of the lenses I was using. In this phase I proceeded as inductively as I knew how - the deductive discipline which the three theoretical lenses (i.e., neuropsychology, community psychology and criminology) would provide were brought into this process as late as possible.

A transformative mixed method approach was required to enable the development and evaluation of an integrated model for rehabilitation in correctional services. Transformative research calls for ethical reflection to occur at multiple points in the process (Mertens et al., 2009; Mertens, 2015b). Once the PAR was concluded, this proved to be challenging. The context determined that the analysis had to occur without the presence of the participants. I was concerned about the individualised impact which my positioning and perceptions would have. I tried to continue transforming myself as researcher through ongoing reflection. This involved consistently asking *how to keep the voices of the participants speaking*. Cautious of imposing an already existing analytic formula, I returned to the transformative literature and finalised the previous chapter to assist me with this process. I attempted to *stay* with the data (as I had learnt to *stay* with the group), *letting it speak* through the development of the methodology. Thus, the PAR process extended into the analysis and I continued the process of *learning to do, by doing it* (Freire, 1982).

4.5.1 Quantitative Data

The assessment of executive functioning and criminogenic thinking was sequentially embedded in the research process with pre- and post-measures (Creswell, 2014). This section discusses the research instruments that were used and refers to the attendance levels. The process preceding the ethical application of the evaluation tools is described in

sections 4.2.3 and 4.2.2.2.c and the results and interpretation thereof are discussed in section 5.4.

4.5.1.1 Measuring Changes in Executive Functioning

The paucity of South African standardised tools required that the assessment of executive functioning had to be adjusted to consider the South African context.

The following steps had been taken to measure possible changes in executive functioning in a reliable way:

- to present the complexity of executive functioning a variety of tests and measurements were chosen;
- in order to compensate for the number of persons who were participating and the lack of resources in terms of time and professional skill, only sub-tests that were appropriate to administer in a group format were selected;
- a level of consistency across the two groups and the pre and post-assessment was ensured by doing the translation in an interactive way simultaneously with the whole group by the same translator/s.

a) Performance Tests. Standardised fluency tasks which measure the number of responses that can be initiated within a limited time are widely used in neuropsychological research and lend themselves to being used for group assessment. Subtests from the Executive Functioning System (Delis-Kaplan Executive Function System (DKEFS), Delis et al., 2001) were considered as the norms allowed for re-assessment and has been used in South African studies (Basson, 2015). I moved between the two language groups to give the instructions for the executive functioning performance sub-tests. Although the content of the instructions was given in a standardised way, they were enhanced by being given an additional 'entertainment' or 'game' element to manage the group format in which the administration occurred. This was however in line with the design of the DKEFS to have a 'game-like format' (Delis et al., 2001, p. 9) in order to make the assessment more enjoyable. The DKEFS converts raw scores to scaled scores for different age groups which had been normed on a large US sample that represents national demographics.

i. Verbal Fluency. Verbal fluency is a sensitive assessment tool for executive functioning (Alvarez & Emory, 2006; Ferrett et al., 2014) and has been studied in South African populations (Baufeldt, 2009; Bethlehem et al., 2003; Ferrett, 2011). Particularly *Category Fluency*, a semantic verbal fluency task (Zhao et al., 2013), allows for group application in a context where the participants have various first languages (Bethlehem et al., 2003) and different levels of education (Pekkala et al., 2009).

Administration and scoring: The test has two parts. With the “clustering” part, participants have to generate words belonging to a specified sub-category (e.g., vegetables) for one minute. This is also repeated for a second category. The “switching” part then asks participants to shift between two sub-categories, one after the other, for one minute. The latter task is more sensitive for measuring executive functioning (Zhao et al., 2013). The switching part yields two scores: a) the total number of correct responses for both categories and b) the total number of accurate switches from one category to another. The total correct responses for the clustering and the switching parts provides the primary scoring measure.

Adjustments: The group format did not involve the standardised method which requires the administrator to write down the responses. Instead, the participants were provided with an A4 blank page to write their responses on. In order to compensate for possible literacy and self-confidence with regard to writing, the option was given to do the test in a one-to-one standardised manner, but this was not requested by anybody.

In a standardised battery a *Phonetic fluency* task (generating words that start with a specific letter) is usually administered before the *Category Fluency* task. The difficulty of generating words using different letters varies between languages (Ferrett et al., 2014). Given the heterogeneous nature of the group, this task was not utilised for assessment purposes. It did however, serve as a valuable ‘warm up’ for the participants to get used to the new assessment conditions (shifting from doing a questionnaire to performing against time and stopping their responses on command). Within the group format, it took significant encouragement to stop participants to generate responses. The phonetic trial provided a learning experience to assist the participants to understand the assessment and to respond to the instructions of the

Category Fluency test. Participants were encouraged to respond in their language of preference.

ii. *Design Fluency*. This subtest was included because it relies less on verbal abilities (Delis et al., 2001). Although it has been demonstrated to have good construct reliability (Suchy et al., 2010) test performance can still be expected to be influenced by cultural factors (Rosselli & Ardila, 2003). A South African study has demonstrated that quality of education does impact performance (Cavé & Grieve, 2009). In this study the normed scores were utilised to determine changes in the pre- and post-intervention performances.

Administration and scoring: Participants are requested to make as many new designs as they can in one minute, linking a number of dots. The test has three conditions (e.g., filled in dots, empty dots and both). The last condition, where people are asked to switch between two types of dots for one minute, is the most sensitive to demonstrate executive functioning performance (Delis et al., 2001). Each sub-test provides the participant with practice items to learn the new condition. Within the group context, it was possible to check each participant's practice items before we proceeded. Where participants made mistakes in the practice items, individuals were assisted on a one-to-one basis. The primary measure is the total number of designs that were drawn correctly within the three conditions, the *Total Correct* measure. A composite scaled score is derived from the total number of correct scores across the three conditions.

Adjustment: The pages used in the study were copied from the original testing equipment of my personal battery of the test.

b) Self-Rating Questionnaires. Self-rating measurement tools have been demonstrated to provide valid and reliable measures of executive functioning (Malloy & Grace, 2005). In order to compensate for potential language and literacy difficulties, the Likert scale formats were illustrated with emoji's, symbols as well as text at the top of each page (see **Appendix 4.11**). Each questionnaire's 'adjusted Likert scales' was enlarged on an A3 paper and provided for each translator to utilise as they gradually worked through the question. They would first read the English item and then translate it onto their vernacular language, often giving various synonyms or descriptions. The participants would be given

time to answer each question before proceeding. The translators also filled in the questionnaires themselves. At times participants would ask a question or disagree with the translation and this could lead to further discussion about concepts until consensus was reached.

With the administration of the questionnaires, I realised how the emojis could cause confusion, especially with questions which had reverse/inverted coding. Symbols (X, ✓ and +/) and text (NO/YES) were utilised to reiterate that the emojis' expressions indicated degree of agreement and not a value judgement. In hindsight the symbols could have been simplified by only using '+' and '-'. It would have been ideal if a *Community Peer Review Committee* could have reviewed all the adjustments (see section 4.2.2.2.b).

Participants were encouraged to respond to each question, but reminded that they were volunteering and did not have to respond to a question with which they felt discomfort. As all the questionnaires were structured into sub-scales, *person mean imputation* (Heymans & Eekhout, 2019) was used to replace missing items for each sub-scale (the average of the available items which an individual has scored on the sub-scale was calculated and used to replace the missing items on that specific subscale).

i. Executive Functioning Index (EFI). This self-rating measure has specifically been developed for healthy individuals in order to collect data in large samples. It provides a swift and effective way of assessing executive functioning (Spinella, 2005a). It has been used in both general and clinical populations (King et al., 2018). It is freely available with coefficients for validity and reliability (Malloy & Grace, 2005) and norms exist for a South African context (Basson, 2015).

The EFI measures individuals' perceptions of their own executive functions. It consists of 27 self-descriptive statements (e.g., *I think of the consequences of an action before I do it*) that are measured on a 5-point Likert scale. Through item analysis and factor analysis the EFI has been structured into five first-order scales: 1) *Motivational Drive* (MD), 2) *Organisation* (ORG), 3) *Strategic Planning* (SP), 4) *Impulse Control* (IC) and 5) *Empathy* (EM). Higher scores suggest better executive functioning and some item scores need to first be inverted to obtain this.

The questionnaire's validity was demonstrated by a further second-order factor analysis revealing three factors that are consistent with the three main brain areas that are associated with the executive functioning system: 1) Orbitofrontal (OF) (involves IC and

EM), 2) Dorsolateral (DL) (involves SP and ORG), Medial Prefrontal (involves MD) (Spinella, 2005b).

Adjustments: Apart from adding information to the Likert levels (see Appendix 4.11) the original questionnaire's text font was enlarged to increase readability. This changed the questionnaire's layout from filling 2/3 of an A4 to filling a whole page.

ii) *Bulls Mental Skills questionnaire (BQ)*. The questionnaire consists of 28 self-descriptive statements (e.g., I rehearse my skills in my head before I use them) that are measured on a 6-point Likert scale. It is structured into seven sub-scales measuring 1) Imagery Ability (IA), 2) Mental Preparation (MP), Self-Confidence (SC), Anxiety and Worry Management (AWM), Concentration Ability (CA), Relaxation Ability (RA) and motivation (Mot). A total scaled score is obtained for which higher scores indicate better mental skills.

Adjustments: The developer of the questionnaire, Dr Steve Bull, granted me permission to use the BQ for this study and to modify the questionnaire. Apart from adding information to the Likert-scales (see Appendix 4.11) the references related to sport and competition were changed to be relevant to the incarceration context (see **Appendix 4.12**). To assist readability the size of the font was maximized to fit on an A4 page.

4.5.1.2 Measuring Changes in Criminogenic Thinking

It was decided to measure changes in criminogenic thinking rather than ethical/moral reasoning, as people's cognitive thoughts appear to have a stronger impact on their behaviour than their moral standards have. People's actions can thus be contradictory to their moral standards (Tangney et al., 2012). This would especially be relevant to persons who tend to be impulsive or do not have access to good executive functioning to think their actions through and foresee the consequences thereof.

The *Criminogenic Cognitions Scale (CCS)* (Tangney et al., 2002) assesses beliefs which justify and maintain criminal actions. It has been standardised on relatively large incarcerated populations (N = 500) and demonstrated to be a reliable, valid and a practical measure with predictive utility (Tangney et al., 2006). It consists of 25 self-descriptive statements and beliefs (e.g., *When I want something, I expect people to deliver; The future is unpredictable and there is no point in planning for it*) that are measured on a 4-point

Likert scale. Through item analysis and factor analysis the CCS has been developed to extract five dimensions: 1) *Short Term Orientation* (STO), 2) *Notions of Entitlement* (NE), 3) *Failure to Accept Responsibility* (FaR), 4) *Negative Attitudes Toward Authority* (NegA) and 5) *Insensitivity to impact of crime* (IiC). The item average is determined for each of the five dimensions as well as for the total CCS score. The CCS be used to evaluate changes after intervention, as well as the sensitivity of the respective aspects of criminogenic thinking to the intervention. The CCS has been demonstrated to predict recidivism independently from demographic differences (Tangney et al., 2012).

Prof Tangney (George Mason University, USA) granted permission to use the tool for the study.

Adjustments: Having used this tool in my clinical work, I had been able to explore responses to questions if they seemed idiosyncratic to the rest of an individual's profile. This made me aware of some potential misinterpretation of some of the items in the questionnaire. Prof Tangney granted permission for me to change the wording of "*Society makes too big of a deal about my crime*" to "*Society is overreacting to my crime*". As I was aware that it could be possible that some responses could be the opposite of what people intended, special care was taken to translate each sentence of the questionnaire individually and to connect this with each option. In the current study five items of a sixth Reparation subscale was included for which there only is a pilot version and no psychometric information.

4.5.1.3 Statistical Analysis

The statistical analysis was done using the SPSS statistical software package under consultation of a professional statistician, Anesu Kuhudzai (Research Management Services South Africa, info@rms-sa.org).

Descriptive statistics were derived from the total number of cases of an enlarged group (TotG, $N = 53$) which consisted of people who participated for the first time during the post-assessment being added to the PreG ($N = 48$) responses. Of the 25 post-assessment participants, 18 could be matched with the pre-assessment. These matched pairs form the matched paired post-group (MPG=18) which were used to determine changes between the pre- and post-scores. Non-parametric tests were applied due to the small sample size. Analysis that was done with separate groups are indicated (n).

4.5.1.4 Portraying Participation

The inquiry provided me with first-hand experienced that ‘participation’ was not a matter of verbal contribution. It was something that was experienced and felt and it mostly involved reciprocal listening. This was re-experienced in the transcribing and analysis of the data, which had proven to be another form of listening. Verbal participation did, however, give some indication of individuals’ empowerment to formulate, voice and share an opinion in a spontaneous way. Given the central position of ‘participation’ in PAR, and the important role which the transcribed recordings played in the analysis, it is important to represent how these verbal contributions reflect the group members’ participation.

The transcriptions thus attempted to capture their verbal participation, coding each contribution with three numbers:

- column 1 the session (date),
- column 2 allocated a chronological number to the participant when they gave their first contribution, and
- column 3 counted the participant’s separate contributions (see **snapshot 17** as demonstration).

The group was itself also counted as a participant when it responded as a whole, or when unidentifiable individuals from the ‘audience’ contributed remarks while somebody was speaking.

The ‘participation’ as it is reflected by the contributions across the 18 sessions are summarised in **Table 4.4**. Only an indication of the verbal participation in the group is provided as differentiation between contributors could not be verified. It should be interpreted in terms of the relatively consistent attendance.

The table demonstrates how the attendance level of the group had remained relatively stable across

Snapshot 17: Transcription extract: coding participation [date (column 1), participant (column 2), contribution (column 3)].			
10	1	13	[00:14:30] Ch:
10	1	13	N, I noted. B were you on the same?
10	10	2	[00:14:35] B:
			I was...saying, we should not put Bra M on the corne
10	1	14	[00:14:46] Chair
			Let us respect...[B: Ya] Okay....after N.
10	6	3	[00:14:50]: N
			<i>Linking</i> It is fine, what I wanted to say, B just said.
10	1	15	[00:14:55] : Chair
			Ok, thank you. ...
10	5	2	[00:14:58]: S
			Thank you again. Guys, if you come from the event, event kept? We understand that our fellow brothers,

the eight-month period of the PAR phase. Although the participants were often concerned about dwindling numbers, a comparison of the overall attendance between the first and second half of the sessions suggested that the reduction was slight. During this time, people often sent apologies if the cold prevented them to come. Interaction within the group is reflected by the fact that at least two thirds of the attendants participated in an active manner (at least more than once). The chairperson, as facilitator, played a consistent role in managing the process. It can thus be concluded that the qualitative data derived from the transcribed recordings is representative of a PAR process.

Table 4.4

Participation as Reflected by Verbal Contributions in Meetings.

Description	Average	Range	Data source
Attendance in first half of Phase IV	23+ 1* participants	18 -33	Attendance 6 meetings Jan – May
Attendance in last half of Phase IV	20+1* participants	20-25	Attendance 6 meetings May-August
Percentage of participants contributing	77%	33-100	
Percentage of contributors who contributed more than once	71%	53-88	11 of the 18 meetings
Percentage of the chair's contributions.	33%	10-53	

*Note: The +1 refers to me also being counted as a participant.

4.5.2 Qualitative Data

It was not possible to do the data analysis with the participants, and the checking of my interpretations of the findings was limited (see 4.6.1 *Member checking*). I was confronted with the critical construction of 'giving voice' (Braun & Clarke, 2006). "Was I really giving voice? Was it mine to give? Whose voice is it really? Who benefits from the telling? " (Ashby, 2011, p. 4). How the incarcerated participants were going to be heard in

this thesis depended upon the strategies for analysis. Various methods were utilised to 'let the participants speak' in the telling of what would always be my version of a story. This included narrating from the onset, making the data real, showing the complexity of the process and acknowledging the 'messiness'. In this way the reader may also recognise what I left out or failed to capture and have room for re-interpretation. Most importantly, the participants may be able to recognise themselves in the data.

Phase IV's PAR emerged from the action research intervention of executive functioning stimulation and ethics education (though with a participatory approach). For a further 10 months, interested participants continued to work together researching making a difference. The analysis and interpretation of the fieldnotes and session recordings (total of 18) provided a way of 'demonstrating' the PAR process. In order to assist immersing, analysing and interpreting of the data (Braun & Clarke, 2006; Lapadat & Lindsay, 1999), I fully transcribed these 18 recorded sessions (see extracts in **Appendices 4.13 & 4.14.a,b**).

The initial analysis focussed on the transcribed recordings; and subsequently integrated the other data. A pre-decided upon method was not applied in a top-down basis. The analysis developed slowly and gradually continuing the circular nature of action research. The focus remained on keeping closely to the data and the process and attempting to, from the 'bottom-up', let the analysis 'speak' from the data itself. As one cycle did not seem to do justice to the process, another cycle was started to attempt to address this shortcoming. As with the practical work, these cycles could also have occurred indefinitely and was contained by the interplay between the particular research question and external factors.

PAR is a multidimensional space-time event, and the analysis also started incorporating both verbal and visual means. Gradually, as the analysis of the sessions evolved, so also did the representations of them become more three dimensional. If this is in any way representing the process in our brain – I am of the opinion that it represents a process of transformation into behaviour.

4.5.2.1 Reflective Narrative Writing

The process of telling the story and reflecting on it in writing is still an incomplete and continuing process. The beginning of this chapter introduced how reflective writing had been involved as method of data collection which was incorporated in the fieldnotes. It is a method which not only collects data, but in the process also changes the researcher and subsequently shapes the research (Etherington, 2014). In the 'writing of', the researcher becomes sensitised to what they are 'writing about' – a space is created to acknowledge the complexity and the different perspectives, to develop self-awareness, depict nuances and connect with the experience of others (Bolton, 2006). This occurred in several layers. First in the making of the fieldnotes and reading literature (also see Credibility section 4.6.1.). From the onset of the fieldnotes I was challenged by knowing when to describe, when to reflect and when to 'find'. As I couldn't find answers at the time, I 'learnt to do it by doing it' keeping an open approach, and trying to keep a balance. At a later stage I did not recognise the questions anymore, the answers appeared to have gradually become reality. These reflections were re-reflected upon as the study developed and the fieldnotes were arranged into a chronological research portfolio. A final layer occurred when the data from all the sources was integrated by the narrative account of the five developing phases. This story is mirrored in several 'products' which are included as outcomes in the landscape of results: a) methodology stories, b) vignettes from participants to reflect the impact of Phases II & III, c) conference presentations about experiencing Ubuntu Ethics education (see section 5.1).

4.5.2.2 Thematic Analysis (KEY: Table 4.1 months 8-15; for analysis and interpretation see sections 5.3 & 5.5)

As a principal qualitative method, thematic analysis (TA) provided sufficient flexibility to commence the processing of the transcribed group sessions. Although the transcripts serve to represent the PAR (Lapadat & Lindsay, 1999) their analysis would still report my version of the story. An attempt was made to allow for "an intimate window" (Clarke & Braun, 2013, p. 122) into this process. Thus, the following strategies assist 'letting the participants speak for themselves' and/or re-interpretation: 1) maximising inclusion by working with the data corpus or entire data set (e.g., coding each contribution); 2) delaying deductive, top-down analysis and deciding on what was to be reported, 'staying with the

data' for as long as possible; and 3) providing full quotes.

Clarke and Braun's (2006) six steps were used to conduct the TA with:

- 1) **Become familiar with the data.** This was made possible by my roles as both group participant and full transcriber of all the recorded sessions. I have thus worked with the data on both an experiential and process level and had a good oversight of it.
- 2) **Identify and code categories.** This step requires a content analysis of the broad semantic topics of discussion and was eased by having done step 1. I tried to work as inductively as possible, identifying topics as they emerged chronologically. To do this, I inserted the transcribed session into a left-hand column of an excel sheet, separating participants' individual contributions (quotes) into rows. Each quote and/or the separate aspects thereof, was then inductively organised moving it into the column pertaining the emerging topics on the right. At first, because of the large volume of data, an effort was made to minimise duplication, placing the quotes within the categories they best fitted. However, this seemed to fragmentise and decontextualise the quotes too much. Where needed, sub-topics were used to make the information more manageable to process. Every quote was coded in terms of the participant and their contributions (see Appendix 4.14a) and organised in terms of the content topic/s (see Appendix 4.14b).
- 3) **Search for themes.** Having repeated the previous step (2) across the 18 sessions, I realised that TA was not sufficient to capture the PAR process in itself. I thus only returned to the TA after completing a process analysis that attempted to demonstrate the richness of the PAR process and could capture the unique and individual roles of the participants (as described in the following section 4.5.2.3). I subsequently decided to use the TA to describe and understand how the specific aspects of the rehabilitation model (community, neuropsychology and criminology) had been active and therefore re-focused the TA on the most relevant topics in this regard. At first the third step of searching for themes was inductively applied to the data set (as per topic) ensuring the inclusion of the whole set (see Appendix 4.14b for a summary of the main topics). The content within the respective topics was reconsidered. I made an effort to identify the more nuanced themes, not to exclude any viewpoint and to specifically be sensitive for alternative viewpoints. I tried to prioritise a 'data-driven' focus which would allow for re-

interpretation and re-thematisation. Therefore, the results are reported with rich reference to the direct quotes which had informed this process.

- 4) **Review the themes:** Because the coding had retained chronology in the data set (see Appendix 14b demonstrating the chronological input of content below a topic), it was possible to recognise changes or shifts in the themes. Thus, with the fourth step's **reviewing of the themes**, the transformative framework had a more deductive influence on the analysis. I placed specific focus on detecting the nature of change in participation and empowerment (e.g., see in Chapter 5 *Landscape of Results* section 5.3.1 referring to the community involvement shift from exclusion to inclusion). I found that I often also referred back to the original transcriptions, by this time being familiar with the content of each session to follow how the themes had developed.
- 5) **Define and name the themes:** This fifth step is provided in the following chapter's *Landscape of Results* (see section 5.2. & 5.3). Here, I made an effort to identify and report 'critical factors' which might have not been reflected in the process analysis to ensure that 'alternative', 'minority', 'silenced' and 'critical' voices remained represented.
- 6) **Provide an analytic narrative** (Clarke & Braun, 2013, p. 121): The last step functions as one of the Bakhtinian 'voices' of meaning making (Hynes, 2014) which has been both 'weaved' into the 'landscaping' of the following chapter as well as reflected in the 'crystallisation' (Ellingson, 2009) of integrative model for rehabilitation interventions. The function of the following two chapters is thus to provide this analytic narrative – first the results and then of a model for rehabilitation.

Throughout both the content and process analysis other important themes also emerged. Along with the initial coded topics, these were noted separately, as another 'landscape', which could be returned to should this be required.

4.5.2.3 Narrative Visualisation (NV) (KEY: see Table 4.1 months 8-15 for analysis and see section 5.2 The PAR Process for interpretation)

I found TA to be 'fragmentising' the sessions, 'taking them apart' in themes and tensions on spreadsheets.

My categorising of the data was not capturing the unique quality of each group

process. It could not demonstrate how participants actively and continuously linked their contributions to each other and how dialogues between people were revisiting previous themes (either from previous sessions, or from earlier in the same session), working on them, developing them.

Although the group discussions rarely followed a specific agenda, there was a sense of a natural development which at times were captured by group participants when this was required in the process or by the chairperson at the end of a session. The fact that I could name each meeting (see Table 4.1) alluded to sessions having their own narrative, a 'wholeness' which needed to be portrayed in a meta-story.

Eventually came to understand this 'wholeness' as 'agreeing to agree' (as Fikile used to refer to in the sessions). I can best describe this as a process of garment-making⁶, with the individuals contributing to the sewing of the different stitches. The PAR's sessions of 'garment making' involved rich phenomena, included various aspects of content, contexts and process. I could demonstrate such complexity at a glance with visual representation and therefore used narrative visualisation (NV) to capture this multi-dimensionality (Segel & Heer, 2010). Narrative visualisation is a technique which has been stimulated by the digital

⁶ In discussion with my supervisor about how I was trying to capture *agreeing to agree*, he referred to the use of "music" which captures the sense of the different notes "working in harmony". Following from this, I started to understand why jazz was so often metaphorically used to explain qualitative inquiry. I decided to rather bring in the traditionally more feminine metaphor of garment making. This would not only incorporate the 'tapestry' and 'quilt' metaphors that are also common in literature, but add the three-dimensional aspect to this wholeness. My mother, as a prolific seamstress, understood the engineering of changing a two-dimensional cloth into a three-dimensional uniqueness for an individual's form. She provided me with many images of trying the garment on and making adjustments to get the 'fit' right. A fitting garment does have a 'complementary tension' in order to be 'fit for purpose'. If it is not 'true to the body' it is covering, it will contort and prevent easy movement. Agreeing to agree seems to be about a group process in which the participants work together to decide on the garment they are making. They each continuously try it on and work together to mould it with making the necessary adjustments until they get the fit right. For some it would be a uniform, giving them their role and purpose, for others it might be a coat, protecting them in a harsh environment, for some decorative resilience and for others identity, a way of representing who they are.

age's access to digital platforms. This access to dynamic shapes has allowed researchers to represent data in more visual / multimodal formats (Cheng & Gilbert, 2009; Pauwels, 2000). NV is an interdisciplinary method which allows large quantities of data to be intuitively and factually explored, effectively analysed and successfully communicated (Kosara & Mackinlay, 2013; Tong et al., 2018). In this way significant complexity can be processed in a "psychologically-efficient format" (Segel & Heer, 2010, p. 1140). NV utilises a process of steps and visual techniques to gradually transform data into visualised stories (Hullman et al., 2013; Lee et al., 2015).

The following section explains how the three steps of 1) Data exploration and analysis, 2) Story transformation and 3) Narration was used to respectively analyse and describe:

- i. *The PAR group processes* (KEY: Table 4.1 months 8-15)
- ii. *The ethical reasoning which occurred in a specific session* (KEY: Table 4.1 month 14/2 4. )

1) Data exploration and analysis: This step built on the previous process of data immersing using both printed copies of the transcripts and excel worksheets. The sessions were re-read as a whole. Coloured highlighters were used to accentuate specific topics, themes, sub-sections, processes and important quotes. Notes about my observations of the data were pencilled in.

2) Story transformation:

i. *Capturing the PAR process in schematic form - 'Agreeing to agree'*. Across the 18 transcripts (KEY: Table 4.1 months 8 – 15), eight NV stories (summarised in Table 5.1 and narrated in section 5.2.1) were identified which were processed using two strategies.

- The first four stories (KEY: Table 4.1 months 8-10) seem to represent the 'how' process, that is the manner in which individuals were 'stitching' their contributions. The participants were mostly thinking in a 'top-down' way, about what they were going to do. These processes are represented by two-dimensional diagrams (see Figures of Diagrams 5.3 a-d), like the cloth from which garments are made.

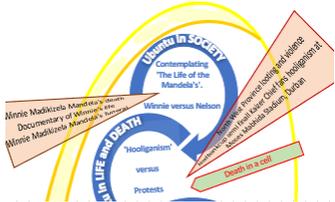
- The last four stories were qualitatively different (KEY: Table 4.1 months 11-15). They were more about real life actions and events that were either happening or being interpreted through ‘bottom-up experiences’ rather than ‘top-down thinking’. These are represented by three-dimensional figures - the completed garments (see Figures 5.4 a-d).

Table 4.5 outlines the strategies that were used (with examples). As with the TA, this had been done using the tabled transcribed contributions on the left of an excel sheet and ‘coding’ them to the right. Focus was now placed on the ordering, sequencing, connecting and relating between various phenomena and how this could be constructed into a visual plot.

Table 4.5

Narrative Visualisation Strategies

	Two dimensional diagrams of processes 1-4 (see Figures of Diagrams 5.3.a-d):	Three dimensional figures of processes 5-8 (see Figures 5.4.a-d):
Themes	<p>Code: Title and coloured columns Description: The title was usually derived from an early quote in the group process. Different positions (sub-themes) were then columnised in relation to the title and each other. This provided a ‘mapped canvas’ onto which contributions and processes could be plotted as they developed the theme. Example: Figure of Diagram 5.3.a Heading - Relapse prevention programme The group considers whether to develop a relapse programme that utilises external resources, internal resources or an integration of the two.</p> 	<p>Code: Coloured shapes Description: Instead of a heading, the title refers to the figure ‘telling a story’. The overall group process is represented by a three-dimensional figure which combines the underlying themes (and events) as coloured shapes. Example: Figure 5.4.b.i Title - ‘Outside-In Inside-out’ The title refers to how real life events trigger the group to analyse Ubuntu in terms of everyday reality. They contrast events testifying of Ubuntu’s presence and absence.</p> 

	<p>Two dimensional diagrams of processes 1-4 (see Figures of Diagrams 5.3.a-d):</p>	<p>Three dimensional figures of processes 5-8 (see Figures 5.4.a-d):</p>
Temporality	<p>Code: spaced - top to bottom Description: Contributions are plotted chronologically starting at the top of the figure and moving down according to sequence Example: Figure of Diagram 5.3.a In their consideration of utilising the group to link with external resources (see brown column in ‘Themes’ above), skills training is first mentioned and this is later followed by discussions on employment.</p> 	<p>Code: space and movement Description: The chronology of how ideas development is captured and mostly represented by a sense of movement as the process emerges. Figure 5.4.c is an exception, where time is itself represented by a (horizontal) hourglass-like figure linking the past with the present and the future. Example: Figure 5.4.b (see ‘Themes’ above) The group unpacks different events until they come to their own conclusion: the environment has a significant impact the realisation of Ubuntu)</p>
Topics	<p>Code: positioning from left to right Description: The development of (sub) topics are plotted from left to right. Example: Figure of Diagram 5.3.a A programme which includes CMs can also utilise DCS members. This idea suggests that a manual is required. Its contents should include the causes of crime (versus the causes of relapse). It is subsequently highlighted that persons seeing crime as a viable occupation against poverty, is a serious issue which needs to be addressed.</p> 	<p>Code: shapes and colour (+ content) Description: The representation focuses on how topics interact with and subsequently influence one another. Colour is used to distinguish between topics. Example: Figure 5.4.b The figure represents different external events, whether in the news or in the centre, triggering the ‘unpacking’ of Ubuntu according to different dimensions (Ubuntu in society, Ubuntu in life and death, Ubuntu is systems).</p> 
Process	<p>Code: coloured arrows Description: most contributions are actively linked to previous contributions and then developed (see theme-section above). Re-affirming links are blue and those that are contrasted are red. Example: Figure of Diagram 5.3.a That incarceration involve both rehabilitation and punishment should be equally part of DCS’s official’s roles.</p> 	<p>Code: arrows indicating motion Description: Process and time are merged into arrows which indicate both direction and evolution. Example: (See ‘Themes’ above) By ‘unpacking Ubuntu’ in three different contexts the group develops a deeper understanding of Ubuntu which they can generalise to most contexts.</p>

	Two dimensional diagrams of processes 1-4 (see Figures of Diagrams 5.3.a-d):	Three dimensional figures of processes 5-8 (see Figures 5.4.a-d):
Emphasis / Significance	<p>Code: Light-dark</p> <p>Description: Ideas that are continuously linked or repeated are made darker</p> <p>Example: Contributions continue to link to the issues of employment and Ubuntu (see 'Time' above)</p>	<p>Code: Dimension</p> <p>Description: As ideas are repeated and become distinguished, so does their representation and plotting in relation to other emerging ideas and concepts, showing how they fit into the whole.</p> <p>Example: Figure 5.4.c demonstrates how some of the ideas in Figure 5.4.b becomes further conceptualised, e.g., the idea of a contextual environment now also holds the impact of the past and the individual's position in a contextual present, trying to find agency into a future.</p> 
Ecologic	<p>Code: Quotes</p> <p>Where possible 'voices' representing the specific thematic positions were provided. Emphasis suggests their impact on the group process.</p>	
Application	<p>Code: Symbols</p> <p>As individuals started sharing the concrete examples of 'doing', thus behavioural interventions in which they were acting differently their different models for applying Ubuntu started revealing. These are each represented by a specific symbol across all the figures. See Table 5.2 for the key which also describes all the symbols.</p>	

ii. **Drawing ethical reasoning - 'When Az was sent away'** (KEY: Table 4.1 month 14/27 4.▀). Despite the group being relatively small, the names of the group members often came up for being transferred ("draf") to another correctional centre. Although we had various strategies in place (e.g., name lists, evidence of participation levels, individual relationships with the respective staff members, group's assertiveness) it required constant negotiations to prevent the transfer of group members. Occasionally, when the threat of transfer between weekly visits seemed imminent, a released member would send me a message. I would then intervene by emailing members of the senior management. With Az's transference it was the first time that we had not been successful. Our first meeting without him (due to his sudden transfer to another province) faced us with an ethical dilemma and a crisis. The strong emotions which this elicited seemed to create a crossroads. While opinions were threatening to tear the group apart, the group started

questioning its own relevance. But, instead of ceasing to exist, the 'Ubuntu PAR Group' was born. In the following sessions they defined themselves formally, elected an executive committee and took on their first formal project.

The pivotal role of this session, called for a closer consideration of its process.

Here, strong emotions played a pertinent part and were clearly expressed.

Different to other sessions, these emotions were immediate, about what was happening in the here and now. The group was not dealing with a theoretical ethical dilemma on a cognitive level – this dilemma was real, and how they would deal with it was of significant personal consequence to them. The following process they engaged in, seemed to occur automatically (it came of themselves). Capturing how the group was struggling to make sense of why DCS management had sent Az away, provided an evaluation of their ethical reasoning process as they had done intuitively – thus, as it had appeared to have been internalised by them at that moment in time. I therefore analysed the ethical reasoning by which the group dealt with this crisis to demonstrate it as an outcome in the study (see section 5.3.3. *Ethical Reasoning in Crisis Management*, and Figures 5.5 a-b).

Han (2014) argues that the interdisciplinary nature of ethical functioning requires taking a 'big-picture' to demonstrate the interaction between the relevant fields. Initial analysis of the session revealed a complex process which required a multi-dimensional model to capture its various features. Consequently, both inductive and deductive methods were used to literally design 'a big picture' for not only integrating current knowledge of ethical reasoning, but also to serve as a model to describe and evaluate the ethical reasoning which occurred in the session.

The resulting visual narrative of a model of ethical reasoning incorporates an ethical decision-making framework, the session's TA findings as well as neuropsychological principles (see **Figure 4.3**).

- 3) **Narration:** The narration of the visual stories is provided in two sections of Chapter 5 as part of the *Landscape of Results*. The first in section 5.2.1. *Narration of Eight Processes* and the second in section 5.3.3 *Ethical Reasoning in Crisis Management*. These narrations were structured according to transformative principles. The following section below outlines how the respective narrations were approached.

i. Embroidering the PAR process. The resulting eight schemas (see figures 5.3.a through to figure 5.4.d) of the NV seemed to be able to capture and ‘hold’ the overall PAR process, representing a sense of its richness. However, my (transformative) concern was that such a level of abstraction might rob the process of what was pertinent to the participants. I therefore returned to the initial analysis and the text, paying attention to information that had not been presented in the figures. In the next chapter’s *Landscape of Results*, section 5.2.1. *Narration of Eight Processes* the visual stories are also integrated with the data. This is done by summarise each of the eight processes according to the following six aspects:

- **Context:** the temporal context in which the specific figure’s represented process is located. For this, the fieldnotes were mostly used to describe the preceding events and the background to each figure (e.g., section 5.2.1.1 (re Figure 5.3a) *Having debated how to go forward the group reached a consensus to focus on relapse prevention. Persons who relapse confront them with failure which they fear*).
- **Process:** my description of the process which the visual story of the figure represents (e.g., section 5.2.1.8 (re Figure 5.4.d) *‘To Assist or Not to Assist’ refers to the young men with substance abuse problems and how the participants decide to take on this unlikely project. The spiral represents the organic processing through four organising executive functions. Individual’s chronological contributions move the group through planning, analysing the issues involve, considering their resources and limitations and then moving into planning again*).
- **Highlighted themes:** the themes raised by the participants during the session. By listing the themes, I tried to ensure that the group’s own priorities were not overshadowed by my research questions (e.g., section 5.2.1.3 (re Figure 5.3.c)
 - *The group had different functions for individual participants and were especially important for those who felt isolated in wanting to change their lives.*
 - *There is a seriousness concern that incarceration was not rehabilitating individuals*).
- **Critical issue:** capturing the *critical* or *outliner voices*.

In my initial application of this principle, trying to be sensitive to identify the unusual or outlier contributions, I realised that these tended to resonated with

critical theory. I thus made a deliberate effort to identify such transitional theme/s from each process which the figures were representing (e.g., section 5.2.1.2 (re Figure 5.3.b) *The theme of 'employment' captured the inmates' relationship with the community. It both represented participation as well as exclusion*).

- **Consensus:** the resolution of the 'current process' (as given above).

Here I tried to describe how my analysis seemed to reveal an outcome for each process that I had identified. It either seemed to be a consensus or a conclusion. The figures often represented only one session, but sometimes it required a number of sessions to be processed together for this to be captured (e.g., section 5.2.1.2 (re Figure 5.3.b) *Conclusion: The group appeared to find hope in the potential of realising a reciprocal dependency with the community. They recognised that they had something to give and that by changing themselves they could also change fellow inmates. People could listen to stories that were different to the statistics*).

- **Individual anecdote:** telling an individual story which was had been shared during the group discussions. The emerging meta- or holistic perspective of each of the eight figures runs the danger of fusing the group process as if it was 'one mind'. These individual anecdotes end each of the eight narratives to counteract oversimplifying their processes. This would not only remind the reader of the individuals who participated, but also serve to continue giving an individualised representation of the complex process. It was with the writing of these individual stories, that I realised that they had rarely stopped there. Like a 'real-life-project model' they had continued 'being written' – therefore, where possible, epilogues are added in square brackets. (e.g., section 5.2.1.4 (re Figure 5.3.d) *One of the younger participants had started his preparation work for parole release and discussed the PAR with the social worker who was preparing his report. As a social worker had attended the certification ceremony, they were interested in the group and asked him for copy of the Ubuntu Ethics manual. [Over time the group also became indirectly involved with a psychology project and they were specifically approached by Religious Care for their assistance in a moral regeneration project. Although the group was very excited about the latter, their experience was somewhat unsatisfactory as they had been given limited time and opportunity to be able to adequately prepare together]*).

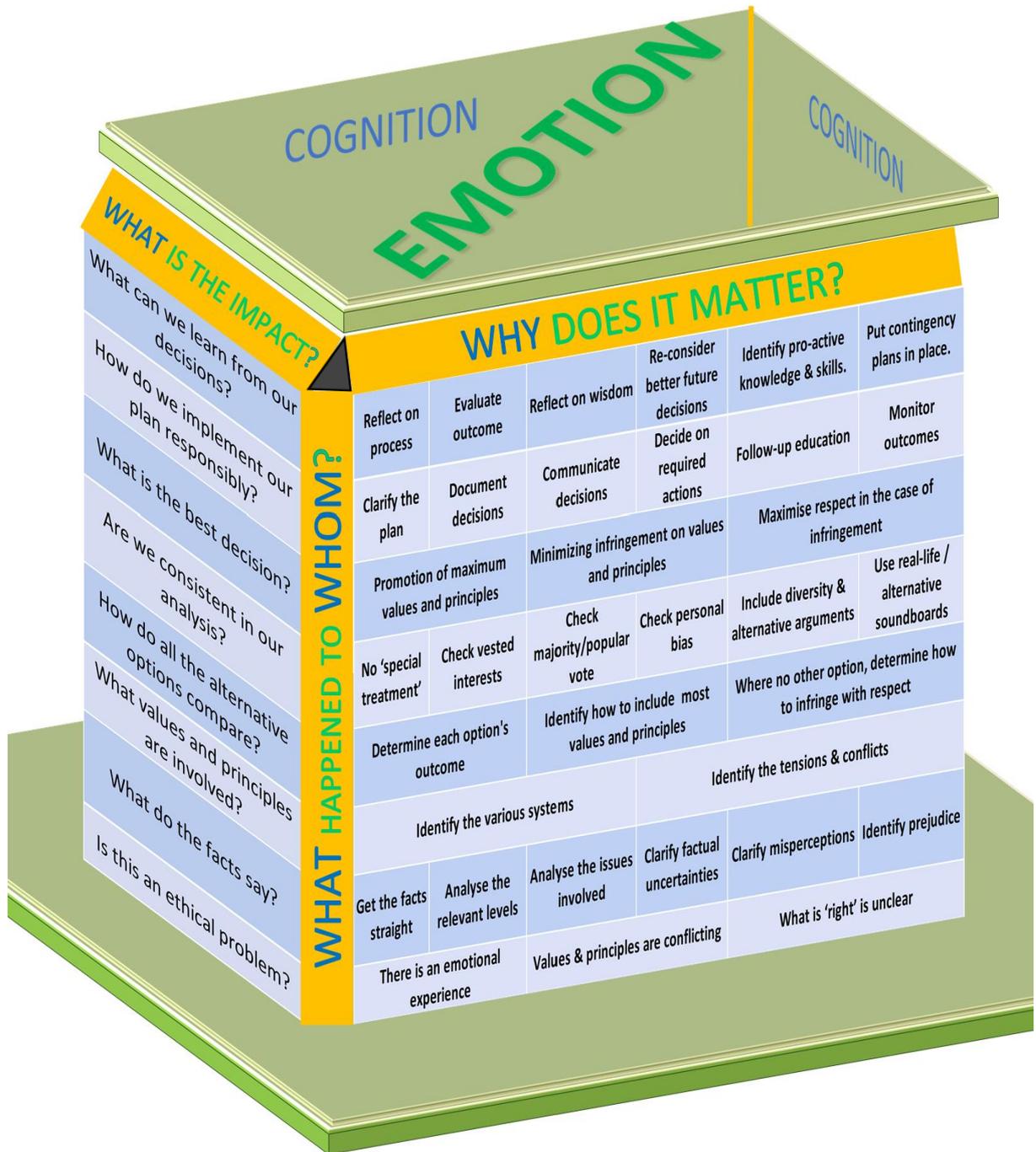
ii. Ethical reasoning evaluation: I evaluated the group's management of a crisis when they were confronted with an ethical dilemma (see above 4.5.2.3.2.ii '*When Az was sent away*', KEY: Table 4.1 month 14/27 4. ) as an outcome of the study. I developed a visual narrative of the current knowledge on ethical reasoning and used this as a model to evaluate the group process with. The coloured cube of **Figure 4.3** summarises the model and its narrative follows below. The results of the analysis are provided in the following chapter (see section 5.3.3 and Figures 5.5.a,b)

Ethical functioning relies on internal conscious, intentional, rational cognitive processes; subconscious, automatic, intuitive emotional processes; and external, implicit, environmental, contextual, social processes. Effective social behaviour cannot occur in the total absence of either cognition or emotion. Their 'dual processing' in ethical reasoning has been well demonstrated by neurological studies (Greene, 2014; Han, 2014; Narvaez & Vaydich, 2008). In Figure 4.3 the three dimensional coloured cube represents this neuropsychological interdependence (Moll et al., 2005) between the **emotional aspects (coded green (and when the specific emotions are named in the application, red) the social aspects (coded gold), cognitive aspects (coded blue)** and the **behavioural aspects (coded black)**.

In neuro-architectural and developmental terms, the clear distinction between the emotional, cognitive and behavioural has been proven to be somewhat artificial - although not necessarily in our experience and in behaviour (Greenspan & Shanker, 2004; Pessoa, 2015). It should be noted that neurological models are increasingly attempting to integrate rather than separate emotional-cognitive processes in the understanding of ethical functioning (Han, 2014; Meeks & Jeste, 2009). However, it is useful to differentiate between **the emotional, cognitive, social and behavioural** processes as they involve different neurological networks and thus have their own outcome characteristics. "Put them together, however, and you get the best of both worlds, provided that you know when to use each mode" (Greene, 2014, p. 696).

Figure 4.3

Narrative Visualisation Model for Ethical Reasoning



Emotional processes involve an evolutionarily older neural network which has formed rich connections throughout the brain, linking the cortex and sub-cortical areas (Pessoa, 2017). The model for ethical reasoning, as represented by figure 4.3, **presents this emotional system with the GREEN platform, inner dimension and ceiling of the cube. This positioning refers not only to how the emotional system operates within the brain, but also to the different temporal roles that emotions seem have in ethical reasoning. It is the efficient and fast subconscious emotional system that provides the immediate negative experiences which can first of all alert us to the ethical significance of an issue.** In doing this, they trigger the slower functioning and more labour-intensive conscious cognitive processes involved in ethical reasoning (Decety et al., 2012; Kahneman, 2011; Greene et al., 2004). Also, the cognitive reasoning is then monitored for how it can eventually provide an emotional resolution (Kahneman, 2003). The 'ethical orientation' of automatic emotion-based judgements consistently appears to be deontological and rule-based, favouring rights and duties over utilitarian reasoning for 'the greater-good' (which involves the more controlled cognitive processes). This system is inherently more sensitive to the personal and to spatial proximity (thus less responsive to the unfamiliar, the more distant, the excluded) (Greene, 2004, 2009, 2014; Paxton et al., 2014).

In figure 4.3 the **cognitive processes**, which involve the more conscious reasoning **that occurs in the brain's evolutionarily younger outside neo-cortex** (Moll et al., 2005) **are represented by the cube's outer BLUE panels.** Where the emotional system is likely to be triggered by personally relevant issues, the cognitive system is usually activated by impersonal dilemmas. It is involved in reflective processes and abstract reasoning (Greene, 2014). This system's 'ethical orientation' is consequentialist / utilitarian, thus focussing on the 'greater good' (Paxton, 2014). Any conflict within or between either of the emotional and/or cognitive systems require the activation of the cognitive mode to first control the emotions, and then to enable sufficient abstract reasoning to conclude the best (most inclusive) utilitarian outcome. Cognitions, therefore, not only serve emotions (responding to their trigger and providing resolution), but they can also control them in order to make more inclusive ethical decisions and can override them when such decisions

need to involve personal will (volition (Greene, 2004). When we are faced with a moral dilemma, we need to be aware of our emotional system's innate bias towards the personal and spatial proximity and would thus require strategies to ensure that we do not use our cognition for rationalising these. Kenny et al. (2015) state that ethical cases require unique levels of reasoning. **An external ethical framework which can stimulate ethical processing can assist us to transcend our (rule based) personal biases, prejudices, misconceptions and social influences in order to make more ethical decisions** (Greene, 2014). Hoffmann (2018) **has integrated existing ethical decision-making models to provide such a framework for ethical-decision making. This framework is presented as the BLUE cognitive circumference of a three-dimensional cube. The cognitive tasks are each represented by a building layer and their specific steps by the respective building blocks (built from the 'emotion' foundation upwards).** The more cognitive processes that are included in our reflections, the more enabled we are to distance ourselves from intuitive processes - to make more ethical decisions (Greene, 2014). According to this model making an ethical decision would also result in a certain **emotional resolution** (represented by the cube's 'roof').

The GOLDEN three-dimensional 'shaping' of emotions and cognitions, represents the perceptual and more integrative functions of the social neural systems (Mol et al., 2005; Tremblay et al., 2017). **The three axes of the social frame exemplify how context integrates emotion and cognition. Ethical reasoning involves both the socio-cognitive (Theory of Mind) and socio-affective (empathy) neural networks** (Bzdok et al., 2012). This was well encapsulated with the universal nature of the themes that were derived from the TA, namely *a) What has happened to whom? b) What is the impact? and c) Why does it matter?* Thus, given the environmental context of the preceding events, the social aspect of the group shaped the emotions and reasoning contributions, informing an eventual complex ethical outcome (as opposed to a simplistic right/wrong (rule based) decision). In the same way the golden, social structure would also seem to represent how, in an ideal context, society's ethical functioning tends to rely on social systems to assist our individual limitations in ethical reasoning (e.g., education, judicial system). The content of the social axes is therefore written in both green and blue –

representing how, at least on the social interactive level, we experience our ethical reasoning in a more integrated way.

Behavioural processes, ACTION is represented as a BLACK triangle which both combines and integrates but is also distinct from the emotional, cognitive and social aspects of ethical functioning. Many studies focus on the emotional and cognitive aspects as if they would necessarily lead to ethical action. The model demonstrates that ethical reasoning and ethical decision-making is distinct from ethical behaviour. Although social context, emotion and cognition are linked to and can be integrated in action – independent neural mechanisms and psychological processes are involved in generating action (Han, 2016).

The temporal element of how the group applied the cognitive steps, ‘building’ the blocks in a re-visiting circular process is coded with a colour and hue key in the following chapter (see Figure 5.5.a). Each coloured building block captures the last incident when a specific step has been revisited. In this way the PAR process is reflected as it was revealed by the group’s ethical reasoning, again not the following of a linear agenda, but a circular, spiralling process. Again, individual stiches have contributed to the weaving a cloth. This cloth was co-operatively tailored until it fitted everyone with a conceptual understanding of how to respond to existential challenges such as Az having been sent away.

4.5.3 Self-Reflection in Phase V

The ethics of vulnerability was prominent in my awareness of coming from a privileged, Western background, so distinctly different from the other members of the group. Our collaboration and mutual support, assisting each other in working together, gave me hope that the research process was of significant value to everyone involved. Whilst in the process of transcribing the recordings and being confronted with the need to analyse them, I felt lost without the other participants there. I was a woman, from a socio-economically privileged background, who had a relatively high DCS hierarchical status, who was trying to represent the voices of a diverse group of African incarcerated men.

I only gradually recognised clarity in the transcriptions, the directionality in the processes and the strength of their consensus. I became aware that what I identified as

'tensions' was more a result of the analysis caused by my own background and not necessarily reflecting the experience of the participants. Even in the first PAR session a participant stated: "*but it is not a tension, it is a debate*". I had a more dichotomous understanding of *tensions* whilst their experience had more motion, a more active and fluid interplay with reality. Not the one or the other, but the one and the other. I learned how the inclusiveness of Ubuntu does not exclude the tension. It actually relied on the creative energy that exists between the differences that were usually stated early on in the PAR sessions (demonstrated in the 5.2.1). The dance between these 'tensions' provided the necessary fuel for this circular process to keep on moving forward. Where I initially saw circles that were revisited, spirals that had direction started appearing. What unites us is that we want to grow and improve, therefore to change. I have learned that by *agreeing to agree*, I can listen to the other, I can get to know myself as other (through the other's eyes), and together we can use this space to understand that change. It was in the writing of the thesis that I came to understand that what I tried to capture was more than voices and processes. In some ways it was a reality, a way of being. Through my own transformation as researcher, I began to understand the meaning of agreeing to agree – this became an attempt (one of them) to capture the process of Ubuntu itself (in the working).

4.6 Research Quality Control

This section provides an overview of how the research process aimed to manage the quality and rigour of the inquiry, data analysis and formulation of the findings. By its nature, the mixed methods aspect of this study allowed for various strategies to be utilised. As the quantitative measurements were sequentially embedded in the research process (Creswell, 2014), the discussion of the quantitative reliability and validity aspects have similarly been discussed in terms of the selection of the measurement tools and the interpretation of the quantitative findings (see section 4.5.1).

Because of the mostly dominant qualitative approach of this study, this section focusses on the *trustworthiness* of the research (Golafshani, 2003). Trustworthiness serves to incorporate questions about qualitative reliability and validity (Creswell, 2014). It requires a pragmatic approach, involving the conscious use of strategies to manage the influence which personal bias and reaction may have on the data and inquiry process (Lietz et al., 2006). Although the concept of trustworthiness is continuously evolving within

qualitative research, Lincoln and Guba's (1985) definition is still the best known and the most referred to (Korstjens & Moser, 2018; Loh, 2013). Their four criteria are therefore used to provide a framework for outlining the strategies that I used to guide the trustworthiness of this study. The transformative research paradigm focussing on voicing the view of those who are marginalised and the ethical issues of working with a vulnerable group give the criteria for credibility and reflexivity central importance.

4.6.1 Credibility

Credibility refers to the truth-value of findings – that they provide a realistic account of the data and the participants' original views (Lincoln & Guba, 1985; Carlson, 2010).

Prolonged engagement

Credibility was achieved by the longitudinal nature of the study (Creswell & Miller, 2000). This allowed for developing a more thorough understanding of the context and the participants. The writing of the research proposal had only commenced after having worked in a correctional centre for a number of years. Working in DCS may also have had a negative impact on the study. Experiencing the demands of the system, made me question the capacity to do research (which was repeatedly addressed in supervision). Becoming 'part of the system' could have developed internal biases and attitudes which I had to try to be aware of and to manage (e.g., not including DCS staff in the original study design may reflect evidence of this). Preparatory training in penology provided an in-depth knowledge of imprisonment, integrating its historical, socio-political, psychological and criminological elements. The study spanned 18 months and 87 contact sessions and where possible, follow-up contact had continued with the participants e.g., with member checking.

Persistent observation

The intensity and relative longitudinal nature of the contact allowed for the fieldnotes to identify, capture, recognise and develop themes (e.g., see section 4.3.4, ethics energizes, owning the study, ill health etc). The qualitative analysis procedures (see section 4.5.2) also provided an in-depth processing of the data (Korstjens & Moser, 2018).

Member-checking

Lincoln and Guba (1985) views member-checking as the most important technique for determining credibility. This is important as I was demographically and socially placed further away from the Ubuntu concept that had shaped this inquiry. The focus on executive functioning required member-checking with the participants as a group to happen procedurally throughout the study (e.g., see section 4.2.2.2.b Planning and review sessions; Table 4.2 row 3 & Prioritising: most important CM challenges). Formal member checking was done at the end of the study and participants were compensated for their time. Fikile Mnisi and a released participant were asked to read through my descriptions and findings of the processes they were involved in. A released participant was also approached to review the final results and recommendations. The practical limitations prevented more extensive member-checking to be done.

Carson (2010) states that the researcher-participant relationship should be central in the member-checking and that the participants need to be informed of the researcher's questions. It was therefore made easy to opt in or out of the member-checking. What participants were asked was clearly formulated, keeping a balance between open questions and giving structure. As respondents may not feel comfortable with giving direct criticism – several questions were formulated to provide safe opportunities to share thoughts (see **snapshot 18**). **Appendix 4.15** provides an extract from the responses which the released participant volunteered in this process – his reviews are acknowledged with the relevant text (e.g., see section 4.2.1.2.b & 5.5). In many ways, this remains an incomplete and ongoing process.

Carlson (2010) discusses transcribing as another form of member-checking. The complex context required sessions to be recorded as much as possible. This compensated for the impact of my filtered observations as I was being swept along and at times overwhelmed by the rich group process. All the recorded sessions were fully transcribed, using the

Snapshot 18: Email extract from invitation to participate in member

What you would need to do is to:

1. Read the methodological notes about
 - a) the process of Fikile's Ubuntu training,
 - b) the summary of the emerging themes and
 - c) the description of the conference.
2. Give your opinion on whether this has done sufficient justice to the process.
3. I am interested in your thoughts on whether any transition took place and if so, what the nature of that was.
4. Lastly, I wanted to know whether there may have been a specific moment of significance in your experience of this process that stayed with you which has not been touched on in my summary.

participants' own words. With a good recall of the events, I could take a more distant position from the process and my role and review my initial observations (e.g., see self-reflection sections in each phase). In this way, self-member-checking was enabled (Creswell & Miller, 2000). A participant who had excellent translation abilities was invited to re-listen to many of the recordings and to translate the parts spoken in vernacular languages. The fact that he also included the respondents' names where I was not able to identify them – would reflect that he reviewed the transcription as a whole and not only the aspects which had to be translated (see Appendix 4.13 as an example of transcribed and translated text).

Triangulation versus crystallisation

Both techniques use a variety of data sources to validate a study. Triangulation converges evidence to provide a more positivist outcome as a limited and stagnant “truth” (Creswell, 2014; Ellingson, 2009). Crystallisation focusses on the qualitative research process, specifically how methodology can involve multiple dimensions and modalities to acknowledge, explore and reflect the complexities involved (Dennis, 2013). The different viewpoints from different sources of data do not aim to provide a single “correct” way of reporting but “problematise the multiple truths” (Ellingson, 2009, p. 22), constructing meaning from the complexity. The mixed methods aspects and participatory action approach of the study answered the complex phenomenon's requirement for different data sources. The information generated by the study (e.g., fieldnotes, reflections, documents, transcriptions and quantitative assessments) were combined into a study portfolio which had been processed in various ways (see section 4.5.2). A Bakhtinian approach (Hynes, 2014), recognising life as participating in a shared dialogue of meaning making, allowed the findings to be presented in landscapes of results as the dialogism ‘voices’ reflecting the complicated reality. A neuropsychological interpretation provided a consolidative platform from which I could crystallise the integrated model for rehabilitation interventions.

Reporting negative incidents and negative case analysis

The reflective narrative writing reports the ‘messiness’ of the developing methodology, negative findings and study short-comings throughout the five phases in which I conducted the study. In the last chapter I conclude with *Sketches From Outside* (see section 6.3.2), that

shares some of the realities of participants who had been released as negative cases analyses.

4.6.2 Transferability

As a model for rehabilitation, the transferability of the study is of particular importance. A deliberate effort was made to provide **thick and rich descriptions** regarding the context, particularly the entry process as well as the *how* of the methodology (Attride-Stirling, 2001, p. 386). This was informed by my experience as an employee of DCS, in order to provide a *how-to manual* for others doing subsequent inquiries in a South African correctional centre or with vulnerable populations (see 5.1.1. The Methodology Story).

4.6.3 Dependability and Confirmability

Ongoing supervision provided a way of **auditing** the methodological procedures (e.g., see sections 4.1.1.6, 4.3.1 & 4.4.1). An **audit trail** was also created. The digital and physical components of the study (fieldnotes, documents, recordings, transcriptions, questionnaires, analysis) are saved in a clearly labelled format for retrieval and in a such a way as to protect personal and sensitive information (see section 4.1.1.4 Ensuring Anonymity, Privacy and Confidentiality). The reader is placed as an 'external reviewer' (Carlson, 2010, p. 1103) as the unfolding of the methodological process is made real by providing in-text brief snapshots capturing *process objects*, extracts from the fieldnotes (e.g., see section 5.1.2) and transcribed recordings (e.g., see Appendices 4.13 & 4.14), examples (e.g., see snapshots of posters 8 & 16) and extensive appendices.

The quality of the study was further assisted by formal training in the disciplines it incorporated: community psychology, neuropsychology and criminology; providing the quotes that interpretations are based on, comparisons with literature; using measuring instruments with good psychometric qualities and considering the South African context in the choice and administration of the research methods.

4.7 Summary

This chapter provided a thick and rich description of the process of an unfolding PAR methodology in five phases. Phase I Ethical Research described the process of discovering and addressing the ethical principles involved in working with a vulnerable population group.

Phase II – V discussed how a transformative research paradigm informed the attempts to realise these principles. Phase II focussed on the Action Research aspect by introducing and discussing the different players, the corrections setting, creating a collaborative structure for participation and doing the quantitative pre-assessment. Phase III provided an account of the responsive ways in which two parallel interventions were developed: practicing executive functioning and Ubuntu ethics education. Phase IV reported how the study took on a purer PAR focus when the participants started using the space to identify and address their identified priorities. The last phase provided an account of the methodologies that had been developed to analyse the data. This process has led to a landscape of results which is provided in Chapter 5.

CHAPTER 5

LANDSCAPE OF RESULTS

Umntu ngumuntu ngabanye abantu.

I am because we are'; a person is a person through other people.

(Well-known Zulu proverb)

You said we have the knowledge, but knowledge needs to be put into practice.

Participant.

Clarke and Braun refer to mapping a “landscape of research” (2013, p. 122) and how this reflects the researcher’s standpoint. The responsive focus of the *Methodological Journey*, has thus also extended this viewpoint into deriving a landscape of results. Such a landscape serves the purpose of reflecting the various levels, angles and dimensions involved in real life, allowing for its diverse *voices* to emerge. I proceed by framing this complexity in terms of a Bakhtinian reality of *conceptual horizons* (Hynes, 2014). However, rather than the Bakhtinian *market square*, this chapter provides a *vantage point* surrounded by a vista of changing landscapes where the dialogism can continue between methodology, participants, theoretical disciplines, literature and the aims and objectives of the study. In this chapter, five such landscapes are presented.

- The first landscape reports *products* from the real-life action research project (see section 5.1).
- The second reflects how the transformative approach enabled eight processes in PAR development which could be further conceptualised to assist generalisation (see section 5.2).
- The third landscape outlines how ethics’ central role in the model was discovered in two crucial ‘moments’ in the analysis (one of a theme, the other of a crisis) (see section 5.3).
- The fourth landscape comprises the results from the quantitative evaluation which are described and discussed (see section 5.4).
- The fifth landscape ensures that the experience of the participants remain central, reflecting important themes which arose from the study (see section 5.5).

This chapter is then concluded with a self-reflection and summary.

5.1 Products From the Real-life Project

5.1.1 Methodology Story

The methodological story provided in Chapter 4 serves as a reference which similar studies can use to learn from and build upon in terms of the following processes:

- doing ethical research with a vulnerable target group (phases I-V);
- conducting PAR in a correctional centre (phases II-IV);
- facilitating education in Ubuntu Ethics (Phase III); and
- developing a method for analysing a PAR process (phase V).

5.1.2 Vignettes to Reflect Impact of Phases II & III

As the outcome analysis focussed on the data from the quantitative measurements and Phase IV, it seemed important to capture the impact of the preceding phases. This is best done by two vignettes:

Two lifers changing centres (reflections of Phase II, KEY: Table 4.1 month 5/Ethics Education session 2 1.➡)

Figure 5.1 is an extract from the fieldnotes one third into Phase III. It provides an example of the reflecting fieldnotes; shows the **complex context of the study (highlighted in green)**; demonstrates **its systemic functioning (highlighted in yellow)** and provides a relatively unexpected but independent suggestion of **the significance which the study's externally structured onset process (i.e., executive functioning practice and ethics training) (highlighted in turquoise)** had for the participants.

The participants' expressed sense of loss (and therefore ownership) may be directly attributable to the application of the ethical principles of maximising agency, participation and content relevancy. The fact that neither of the two participants continued in Phase IV points to the structured sessions and Ubuntu training having more meaning for them than the open PAR platform had. This may be attributable to various factors, including the executive functioning skill which the open-ended format may have required. This example

Figure 5.1

Extract from Fieldnotes (KEY: Table 4.1 month 5/Ethics Education session 2 1.)

“The day began with a crisis. Two participants who are lifers, X and Y, had been told that they were to be transferred to another correctional centre in order to get their social work and psychology reports done in time. They were very upset and confused, firstly not expecting this, secondly knowing that their issues were behind and thirdly because they were not able to participate in the group anymore. I tried to give support by advocating for them with the social workers so that the process could be clarified. It soon seemed clear that there were not enough resources at the current correctional centre and that moving to another was a solution which the management came up with. It also seemed to be a temporary move and that they could come back as soon as their reports had been completed. Z, also a lifer who already had his release date, told me that X should accept this and just get it over and done with as soon as possible. That this is for him and he should put himself first and not worry too much about the study. We considered that they could remain part of the project by me visiting them in the other centre. I asked Z to speak to X at the social work offices to give him some support. By the end of our day, X was still standing at the gate, nothing had happened as yet, but he said that he felt more contented. He was hopeful that we could visit them in the other centre and keep them part of the project.”

*

“This visit occurred on the day that our centre had to be locked down because of no electricity. A decision was made early on with a few representatives of the group that I would visit the two lifers instead. I used my contact with the psychologist in the other centre to arrange a meeting with them. I did not have Y’s identifiable information, but X had taken the initiative to bring him along. The three of us sat together in an office that was lent to us as people came in and out to get their belongings and to use the equipment there.

Seeing each other again was like a reunion – we greeted with delight and relief. X expressed that they were talking about the study the previous day and worried that they had not heard from me as I had promised. They managed to send a message to the centre where the study was at and also got feedback that the previous day’s session had gone very well and was much enjoyed. I explained that the situation was different because I had to escort Fikile with it being her first day. They were happy that they could remain part of the project and would be able to ‘not fall behind’.

X had many questions about the project, nearly as one does when you haven’t seen visiting family members for a time and are asking about the community. He wanted to know how Fikile ‘had settled in’, how the attendance rate is, whether so-and-so was attending (people from his section), how the participation is going. He reflected on the importance of the project and its need to reach its objectives (although what this was, was not clarified at this stage).

We discussed their impressions regarding the difference between ethics and morals. Although there was a general feeling that they were mostly the same, Ethics were of a ‘higher order’ than morals it was hard to put into words what this meant. They were given the Training Manual as well as a copy of all the Power Point slides. Both were encouraged, since they were in the same place, to read each slide and to discuss its content with each other before moving to the next one – as we had been doing in the group.

Researcher’s impressions:

There seemed to be a real sense of loss from the two participants who had be transferred to another centre. I was grateful that I was able to give them something concrete: each of them received a file with the handouts from the ethics education. Taking ownership of this seemed to give evidence that they remained part of our community, irrespective of the distance – that there is still continuity, just the same as before when people did not manage to attend each meeting. It also meant something to me, having been touched by their delight and gratefulness to see me, that I could give them something in return.

I had not been prepared for how important this visit was to the two participants. I realise now that it affirmed their importance and value, their dignity and respect for their participation; that they were acknowledged as individuals who mattered.

It seemed that X had come to own the project; he talked about it as a co-owner would – thinking of it as a process that needed to be steered and a process going somewhere – though no details were highlighted.

However, this incident also made me think more about the group versus individuals. Would a psychologist ‘do PAR’ differently than a sociologist, an educationalist or an anthropologist would? I tend to

register the individuals' separate needs and am becoming aware of my own anxieties of 'letting the ball/s' drop as I am experiencing the group as a whole with many individual issues.⁷ I am reminded of Monday's reflection from one of the participants who also mentioned how people were becoming more 'persons' to him and guess that we are all developing in this regard. It served as a reminder that I also need to keep hold on the continuity of informing the group of X and others who give me apologies. However, X had done so very well himself, actually being one ahead of us in his communication between the centres. There always seems to be a tension between how resourced people really are – and the fact that I have access to power which I need to utilise or make accessible to them / provide a service for them? Power versus Responsibility?

Note: X returned to the project and completed Phase III. He only attended the beginning of Phase 4. It is not clear how much Y continued with phase III, he did not participate with phase IV. It is not clear whether they stopped participating out of choice or were transferred or released. X did however return to complete the post-assessment."

suggests that participation in real-life projects should also be provided with a diversity of formats allowing continuity for the different niches within which persons are comfortable to work.

Certification Ceremony Feedback (Phase III, KEY: Table 4.1 month 7 /17, 18 3.)

The meaning of Phase III and particularly of the Ubuntu Training are set out by the following themes that were extracted from the Elder's vote of thanks and post-certification debriefing group transcriptions:

- The absence of Ubuntu has consequences: *"Gents, we are here because we had breached Ubuntu (Group: Ya). Because if we had Ubuntu we wouldn't be here (Ya)."*
- Ubuntu training provides a re-appreciation of self-worth, which enables re-access to resources: *"Thank you for igniting us. Some of us, it's the knowledge that we had, but we took it for granted."*

⁷ During the process my attention was disproportionately drawn to individual's specific needs. Supervision addressed my feelings of being overwhelmed and refocused me on the PAR process itself, reminded me to look at persons more holistically. In some ways this thesis also tells the story of how the group made this shift to acknowledge, incorporate and develop their resources.

I wondered how much my discipline was influencing the *how* of this PAR process and how other disciplines may have conducted this process differently. Working with Fikile allowed for a more interdisciplinary approach - by its nature, community psychology is interdisciplinary (involving many aspects / professions at the centre). My question about whether and how disciplines apply PAR differently may highlight the importance for more interdisciplinary work and thus more diversity in this regard.

- Ubuntu is relevant to the immediate environment: *“If we can apply Ubuntu things will be easier here.”* This statement eventually became the official purpose of the group - promoting Ubuntu within the correctional centre. It took another seven months before this was formally defined. It resonates with the essence of a real-life project as a survival oasis within the incarceration context: *“It is times like this, and it is places like this that break up the human spirit through...ed isolation. We are the lucky few that have been joined in the reversal of the situation.”*; *“(The Ubuntu training has) enlightened us, that we forget where we are and the stressors that are always here inside.”*
- Learning from each other and collaborating as a team provides possibilities to look forward to: *“I have found brothers from the group.”*
- Ubuntu education connects with community issues: *“Ubuntu promotes the tolerance and acceptance of race...in the human household. Ubuntu reminds people in the onslaught that they are all part of a greater human family.”*
- Ubuntu is a process of continued growth for self and society: *“to learn and develop our self.... empowerment through learning”*; *“and we apply it in the community.”*
- The impact of the principle of *bringing the community in* and its sense of sustainability were acknowledged by terms such as: *re-storing, re-discovering, enlightening, motivated, continuously, productive, inspiration and hope.*
- The challenging nature of such education is acknowledged and valued:

“I just want to say that this course it was challenging. It wasn't always easy, but we were allowed to be confused and through the confusion came understanding. Because my understanding is, this is even professional people is also confused about it. So, we were allowed to be confused and there was always help and it brought us together.”

“When you have to present, it was never easy because you know to say when you present, then all the questions are going to come. So, you are there like in to say all the questions and the challenges that are coming to you must be there. Answer those questions. So, at the end of the day the course makes you stronger also. So, if you are a person that is really shy and you are in your shell eventually you must come out because of you are going to be put on the spot.”

5.1.3 Conference Presentations: Ubuntu Ethics

Engagement with the community was a central aspect of the study. This occurred on various levels: individuals as exemplary representatives from the community, the correctional services fraternity, and the macro level of academia. As action research, the papers presented at conferences and published as part of the academic literature are products from this study. In total the study is associated with six papers presented at four conferences, part of a book chapter, and (so far) one journal paper. These academic contributions also reflect the study's process – from an initiating researcher, to a group owning it as a community, to individuals from this community taking it to other groups existing of individuals who are part of (and can influence) other communities. The process involved the movement and evolution of ideas, experiences and realities, at the interface of individual and community to reciprocate change.

Three of these products are shown, here:

- a) The PAR Group's messages to ethics educators at IAEE's 5th ICEE about Ubuntu Ethics (see **Figure 5.2**, KEY: Table 4.1 month 6/8 2. ).
- b) Abstract and PowerPoint slides of MB's presentation at the IAEE's 6th ICEE - 'Getting Back to Basics' – *The Impact of Ubuntu Ethics Training for Inmates* (see **Appendix 5.1**, KEY: Table 4.1 month 17/35 5. ).
- c) Transcription of DJ's presentation to the IAEE's 6th ICEE - *How Respect Made Me Survive Prison: The Application of Ethics Education* (see **Appendix 5.2**, KEY: Table 4.1 month 17/34 6. ).

These products highlight not only the value of ethics and Ubuntu ethics education, but also doing it in a communitarian way, allowing for joint deconstruction of concepts and principles, sharing the journaling of practice and group reflection. The products demonstrate how a PAR approach addressed both the content, structure and style (or "packaging") which inmates deem effective for training in corrections.

Figure 5.2 (KEY: Table 4.1 month 6/8 2. )*PAR Group's Messages about Ubuntu Ethics to Ethics Educators at the IAEE's 5th ICEE*

I have learned so much, it changed my behaviour and how to communicate with others.

I have learned to be selfless to other fellow inmates and communication at large.

I have grown in my understanding of ethics and have developed a broader understanding of ethics.

Ethics must be taught to every child at the early stage so that they may act in the right manner and help the community to develop their morals and live in harmony. And it will be good for every prisoner in the world that will change the way we behave, the way we think and become better people among the community.

Ethics education in prison is very important because most people lack ethics.
Why they have different backgrounds.

It is good because there is much to learn through others and also to share the information.

It is a very good study, whereby it helps us to introspect carefully, consider our thoughts and decision-making.

Ethics – it is an eye-opening course that had help one to reflect on one's actions and behaviour towards other people, it reminds one that ubuntu – to live in harmony is a lifetime thing that needs to be kept in people and inmates' minds. Everyone needs to go through these Ethics lessons to keep being original, it is our core (true you) to be ubuntu. I will love it be recommended to all Correctional Centres in South Africa. I think we will have less crime and ugly incidents.

Ubuntu a unique South African angle: why am I saying that? Because many countries fought and even today there's no freedom. But in South Africa, we manage to love, live and have peace with our oppressors.

In prison you learn so many things if you have a positive mind. So, in order to survive in prison you need to educate yourself and participate in activities taking place and most important go to church!

With due respect as an inmate, I kindly request your participation to help South Africa – crime has developed or increased more than job opportunities – individuals and society are more impatient and the country is unstable because of criminals from government to community. The unethical principles start ac the first citizen (President) to the last citizen, which is myself in prison. Please – visit our prisons and preach love and unity – trust and believe to have a better future.

5.2 The PAR Process

In this section, I inductively analyse the data, working from ‘the bottom-up’ to develop an understanding of the PAR process that can be transferred to other contexts.

First, in section 5.2.1. the narrative visualisation analysis (NV) of 18 transcribed meetings reflected the emergence of eight stories. The way stories tend to do, each unfolds into an outcome. This narration illustrated how Freirean educational principles are embodied by the group process itself.

As introduction to the NV, **Table 5.1** serves as a map, summarising each story in terms of their main theme and outcome. It also links each with a Freirean quote, as it will be illustrated in the *Narration of Eight Stories* below. Here each story is captured by a figure and narrated according to the principles that had previously been identified (see section 4.5.2.3.3.i), that is:

- context
- process
- themes
- critical Issues
- outcome and
- individual anecdote.

In section 5.2.3 (see Table 5.3) I generalise the themes and outcomes of these stories by conceptualising PAR in terms of eight developing processes.

Through-out Phase IV, different models for the application of Ubuntu could be identified. **Table 5.2** provides a summary of the models, represented by symbols as they gradually emerged across the eight ‘visual stories’ (four diagrams and four figures). (See however the comment in 4.3.4.g.). They illustrate the manifold contextual translations of Ubuntu principles. In retrospect, I realise that if I had been able to share these models and the different PAR processes during times when the group was critical about its achievements, I may have assisted them to appreciate the richness of these applications and the meaning of their process more.

Table 5.1

Narrative Visualisation Stories of the PAR Process

KEY: Table 4.1		Theme	Outcome
1.	Mth 8/1-3	The type of relapse prevention programme we can develop: <i>"As a democratic relationship, dialogue is the opportunity available to me to open up to the thinking of others, and thereby not wither away in isolation."</i> Freire (2009, p. 103)	Utilising internal resources
2.	Mth 9/4	The goal of such a relapse programme: <i>"Thus, to speak a true word is to transform the world."</i> (Freire, 1996, p. 68)	Ubuntu relationships
3.	Mth 9/5	Exploring possibilities/resources: <i>"It's in making decisions that we learn to decide."</i> (Freire, 2001, p. 97)	Utilising multiple models
4.	Mths 9-10/6,8	Equipping ourselves: <i>"Dialogue is the encounter between men, mediated by the world, in order to name the world."</i> (Freire, 1996, p. 69)	Starting with what we have
5.	Mth 11/12	Defining our purpose: <i>"Education as the practice of freedom."</i> (Freire, 1996, p.62)	Showing Ubuntu is teaching Ubuntu
6.	Mths 11-12/7-9	Immersing ourselves unpacking Ubuntu: <i>"This, then, is the greatest humanistic and historical task of the oppressed: to liberate themselves and their oppressors as well."</i> (Freire, 1996, p.)	Ubuntu increases Ubuntu
7.	Mths 12-14/16-24	Positioning ourselves: <i>"To be human is to engage in relationships with others and with the world. It is to experience that world as an objective reality, independent of oneself, capable of being known."</i> (Freire, 2010, p.3)	Ubuntu and Society
8.	Mths 14-15 / 25,29-30	Application: <i>"All instruction involves research, and all research involves instruction. There is no genuine instruction in whose process no research is performed by way of question, investigation, curiosity, creativity; just as there is no research in the course of which researchers do not learn – after all, by coming to know, they learn, and after having learned something, they communicate it, they teach."</i> (Freire, 2010, p. 170)	Starting an Ubuntu project to address substance abuse

Table 5.2*Emerging Models of Ubuntu Application in a Correctional Centre*

	Symbol	Application Model	Status in the Study
1.		Cell interventions	Often used
2.		Out-reach	Hypothetical
3.		One-to-one	Mostly used
4.		UNIT /Sectional Hierarchy	Hypothetical
5.		Opportunities in everyday life	Often used
6.		Centre Events	Two occasions
7.		Case Study	One example
8.		Partnership with DCS authority	Mostly hypothetical but also various attempted examples
9.		Project work	One project
10.		Personal Change	Ongoing and occasionally reported

5.2.1 Narration of Eight Stories

The themes that are captured and represented in the following 8 diagrams and figures had continued throughout the process. Participants would often re-visit and re-state “*what we have learned here*” in terms of the realisation they had derived from their participatory dialogues.

5.2.1.1 The Type of Relapse Prevention Programme We can Develop: Utilising Internal Resources (see Figure of Diagram 5.3.a)

Context: Having debated how to go forward the group reached a consensus to focus on relapse prevention. Persons who relapse confront them with failure which they fear.

Process: Participants were considering the type of relapse prevention programme they could develop as a group. The discussion unpacked three options:

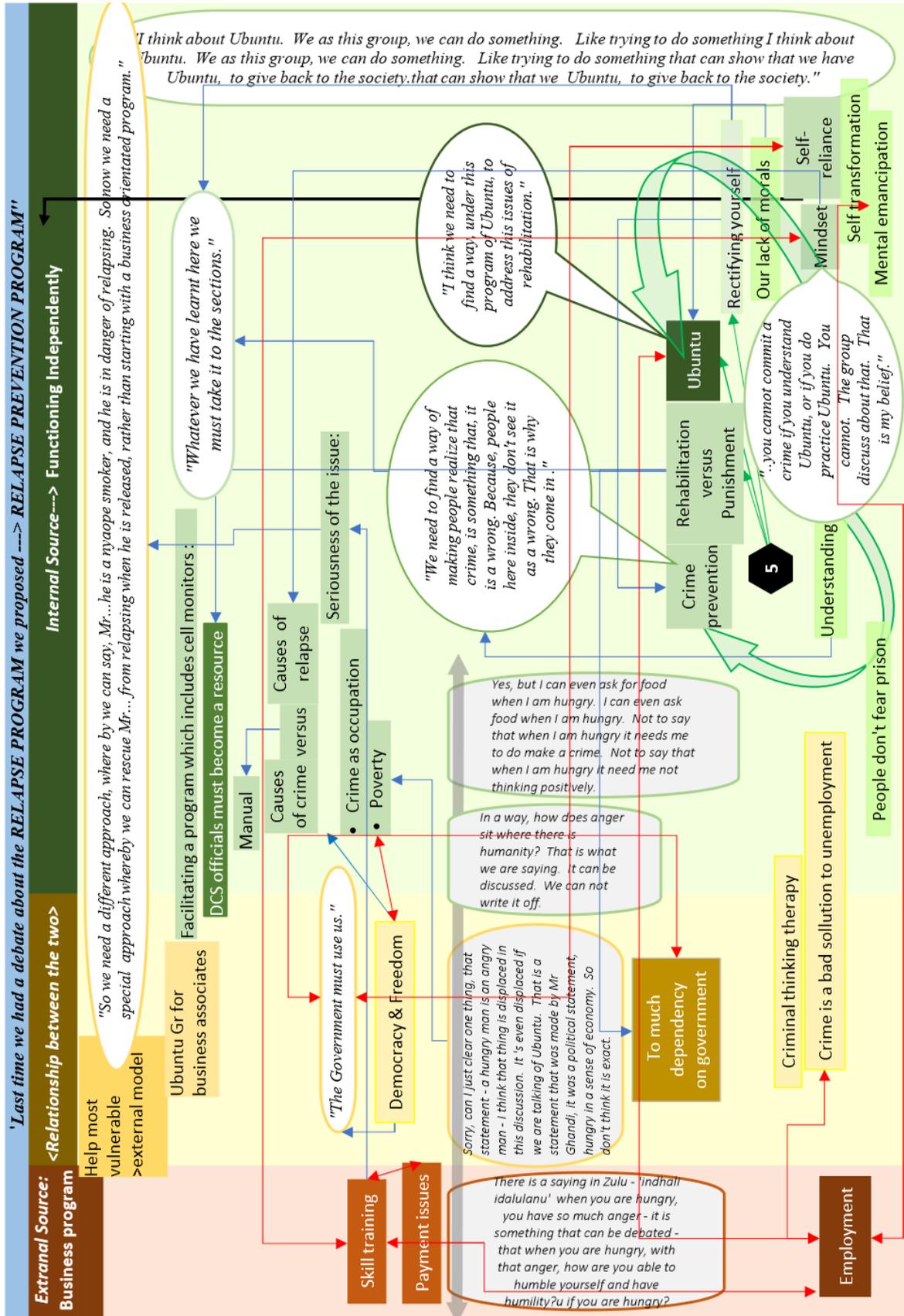
- a) An 'EXTERNAL focus', defined as a 'business programme'. This would require outside resources to equip persons to be employed, offering skills and work opportunities.
- b) An 'INTERNAL focus' where inmates develop an Ubuntu programme to address crime and relapse at the core – helping individuals understand why crime is the wrong option.
- c) A 'BRIDGING focus' combining both an external and an internal focus by means of more specialised programmes:
 - i. Reaching out to those who are abusing drugs;
 - ii. Incarcerated persons and parolees to address needs in the community in an economically sustainable way;
 - iii. Establishing an Ubuntu group for business associates;
 - iv. Facilitating 'criminogenic thinking therapy' to assist persons to understand why crime is a bad solution to unemployment.

Highlighted themes:

- Crime's seriousness is not addressed by incarceration. It has become a viable occupation for persons who do not fear imprisonment. A more holistic focus on rehabilitation is required.
- Ubuntu can address rehabilitation. It links inmates with society, working with morals that change mindsets. Persons with Ubuntu have 'mental emancipation' and cannot commit crime.
- Because DCS officials play a central role in the rehabilitation process their training in rehabilitation (and Ubuntu) should be paramount.
- There is concern that dependency on the government happens at the cost of self-reliance.
- **Consensus:** To facilitate change in others using Ubuntu, whilst not disregarding other options which may be appropriate later on. CMs have access to Ubuntu - we can make a difference starting with ourselves, our cells are our current communities.

Figure of Diagram 5.3.a

The Type of Relapse Prevention Programme We Can Develop: Utilising Internal Resources



Individual anecdote: One of the elders shared how he does “small things” in his cell to reinforce positive values e.g., reminding a youth that he wanted to show him a scarf from his mother. After mentioning the alarming fickleness of young offenders, he describes: *“There is some times that they go like ge-pah-pah-pah-pah and they say it exactly the way that gun is sounding. And I am asking myself, this guy is so rooted in to the sound of this thing, that it has really run away with his mind.”* This description illustrates how seriously he perceives the matter of incarcerated youth’s vulnerability to repeat crime is. *“Really, as far as I am concerned it is deep. It is deep.”*

[Over time he continued to reflect about the young men and his role in the cell and the different approaches he tried to make a difference. He eventually shared that he noticed how they tended to flock around his bed to watch tv, even though there were other tvs in the cell and how he started using this opportunity with good outcomes (see 5.2.1.8 Individual anecdote).]

5.2.1.2 The Goal of Such a Relapse Programme: Building Relationships With Ubuntu (see Figure of Diagram 5.3.b)

Context: Revisiting the tension between an external and/or internal focus in goal formulation, the process was slowed down by ‘brain storming’ questions about the three re-occurring themes a) Ubuntu b) Social Capital c) Community (See **Appendix 5.3**).

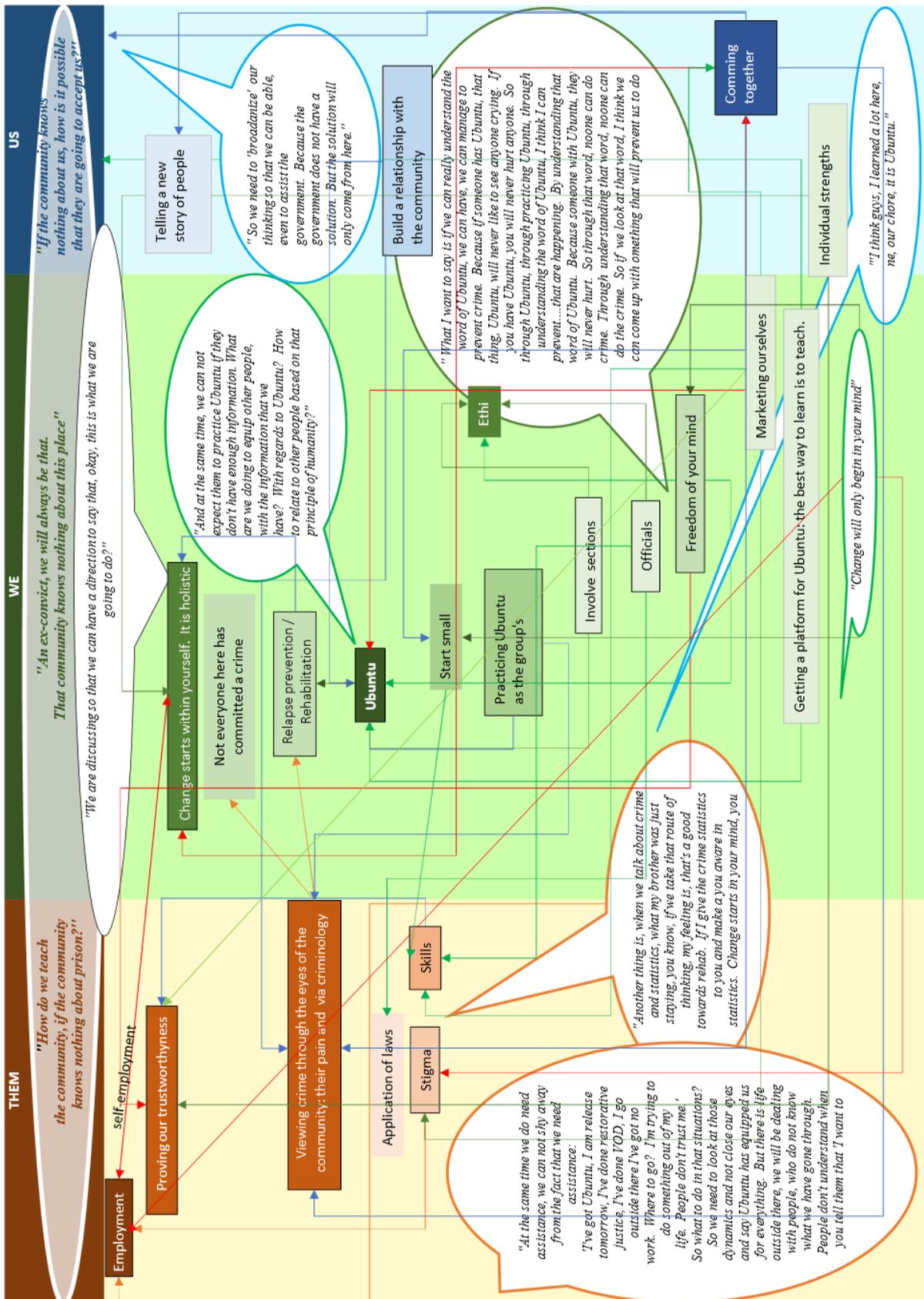
Process: The group struggled with the complex causes of relapse. At first, the community is acknowledged as a distant, judgemental and rejecting ‘other’ (THEM) whom, paradoxically, offenders are entirely dependent upon for success. Gradually a new potential role is explored. As persons who are incarcerated, they recognised their resources in terms of experiential knowledge, and their training in Ubuntu. They started imagining that offenders are able to provide solutions to society (WE). With these answers they can take the initiative to reach out and build relationships with the community (US).

Highlighted themes:

- By understanding Ubuntu and practicing Ubuntu, individuals can learn to relate to their community in an ethical way and thus prevent crime. In this way new stories of rehabilitation can be told.

Figure of Diagram 5.3.b

The Goal of Such a Relapse Programme: Building Relationships With Ubuntu



- By understanding offending and working with persons who have offended, the community can learn to relate to them in a collaborative way. Both the offenders and the community can be changed.
- Statistics (or criminology theory) can serve to externalise crime for the incarcerated: not only does it help offenders to see crime through the community's eyes, but it also helps to see the larger contexts in which crime occurs. This can allow for a powerful shift, not to feel rejection personally and to start changing the way one thinks about crime.

Critical issue: The theme of 'employment' captured the inmates' relationship with the community. It both represented participation as well as exclusion.

Conclusion: The group appeared to find hope in the potential of realising a reciprocal dependency with the community. They recognised that they had something to give and that by changing themselves they could also change fellow inmates. People could listen to stories that were different to the statistics.

Individual anecdote: The spokesman was an educator/tutor. He had become part of the PAR group after he was approached to do the translation for the assessment. His eloquent speech mapped the stage on which the rest of the session continued to build. He started with the damage that had been done to the community and their issues with trust – then he reflected on inmates' significant fear of relapse if they know that they have no support system. He highlighted the need for positive stories. He talked about change and how it happens holistically and needs continuous reinforcement. He ended off stressing that as offenders, they are best placed to provide solutions to crime. [Although he initially wanted to use the group to help people with entrepreneurship upon release, once the goal for developing Ubuntu was decided upon, he remained a committed participant, continuing his involvement, even whilst recovering from a painful physical condition]].

5.2.1.3 Exploring Possibilities/Resources: Utilising Multiple Models

(see Figure of Diagram 5.3.c)

Context: Being energized about the goal to develop Ubuntu and touch others, the participants had gone back to their sections with the aim of engaging with the DCS staff to find ways to make more people aware of Ubuntu.

Process: The four represented sections reported what they had done according to their different circumstances/resources:

1. Working with an individual cell as a community (being a minority).
2. Having a one-to-one approach with specific individuals (with legitimacy as an elder).
3. Making contact with the UM to consider reaching officials and other cell monitors (having a strong leadership in the DCS section management).
4. Considering reaching out to the community marketing initiatives to promote Ubuntu (only when access to resources).

Highlighted themes:

- The group had different functions for individual participants and were especially important for those who felt isolated in wanting to change their lives.
- There was a serious concern that incarceration was not rehabilitating individuals.

Critical issue: Newly admitted persons (including remand detainees) are the most vulnerable in incarceration. They should be prioritised for rehabilitation before the realities of their context overwhelm them.

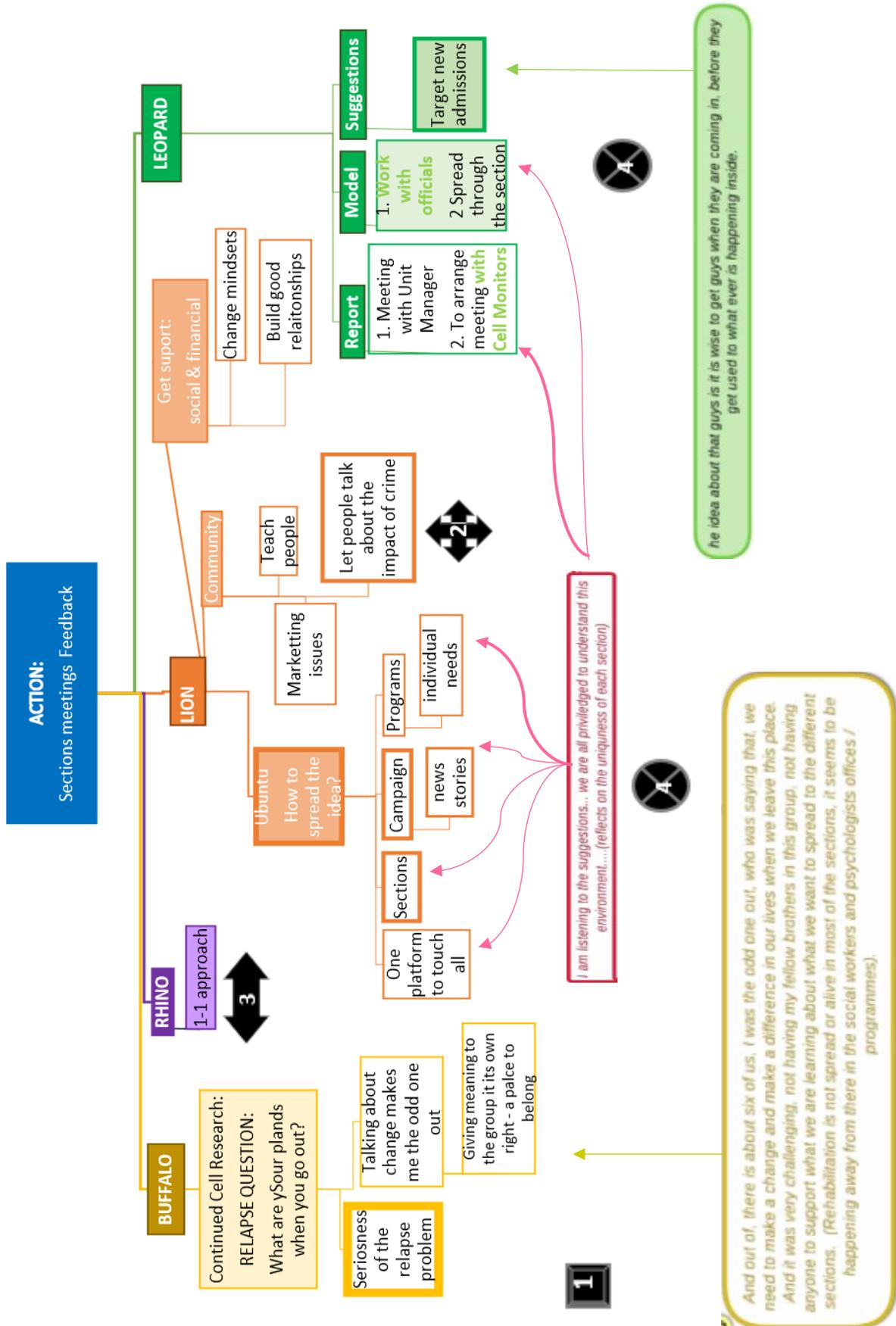
[One of the participants were placed in a temporary holding cell for persons who have just been admitted to assist and prepare them and he utilised this role to show and teach about Ubuntu].

Consensus / Conclusion: The different applications of Ubuntu emerged according to the different section cultures. The group did not need only 'one right application'. Different applications would be required for different circumstances.

Individual anecdote: A participant took the initiative to do 'cell-research' by stimulating a 'focus group discussion' with the question: '*What are your plans for when you go out?*'. He was shocked to realise that there was no other person in his cell who was thinking about change, even though some were due to be released after lengthy sentences. He felt that the others were judging him for "*feeling that I was trying to make myself better, by saying that, 'what is the point of going out and still continue what is wrong, and still continue to do crime?'*" (this was an uncomfortable experience which was often reported by participants). Being the odd one out, he saw the PAR group as the support to help him maintain his own

Figure of Diagram 5.3.c

Exploring Possibilities/Resources: Utilising Multiple Models



goals. [Throughout the project he continued with doing ‘cell-based’ interventions (e.g., pinning up the Ubuntu values), and utilised the group to process the resistance confronting him. He eventually found four persons who were doing the ‘domestic work’ in the cell to be the most open to an Ubuntu approach. (These are usually the persons who get no visitors and earn resources by doing others’ chores.) He was hoping that their contact with everyone else in the cell would be best placed to influence the cell’s culture.]

5.2.1.4 Equipping Ourselves: Starting With What We Have

(see Figure of Diagram 5.3.d)

Context: After completing the brainstorming questions and answers the group was struggling with an ongoing tension between ‘contemplation’ and ‘action’. The two strongest represented units had receptive UMs. Leopard Unit had more Elders who found it easier to initiate a working relationship with their UM. He suggested a structure for them. They were halted when many participants did not feel sufficiently equipped to address Ubuntu awareness in CMs. Lion Unit had more educators/tutors, but they were not able to process their goals amongst themselves. [It remained a continuous reality that the group’s positive direction seemed to lose energy once they departed and tried to re-group in their respective units.]

Process: The tension between three approaches served to energized and develop the group discussion:

The first approach called for ‘ACTION’. Ubuntu had to be practised. There was a clear suggestion that the action research model could be utilised within the individual sections and developed respectively. The focus was on realising own knowledge and understanding of Ubuntu in everyday situations.

The ‘CONTEMPLATION’ approach involved a clear unified understanding of a goal and how to achieve it, *before* going forward. It focussed on a ‘HOW’ top-down process engaging the DCS hierarchical structure to impact the correctional centre. Their expression that the group could not function without officials’ support, validated this focus. It was realised that the “*horse was before the cart*” and too much was being assumed while the group was not ready. A clearly conceptualised ‘WHAT’ was required to approach the officials with.

[However, the group never engaged with my suggestion that ‘what’ could perhaps be developed with the officials.]

The idea of UBUNTU AS A VISION, seemed to bridge the two approaches. The holistic nature of the Ubuntu principles which can thus serve to unify the diversity of humanity was proposed to become the central theme for the group. The group started defining itself as the *Ubuntu Group* and then the *Ubuntu PAR group*. Ubuntu was not to be ‘sold’ but imparted by example. They envisaged playing a participatory role to prevent disharmony in their immediate surroundings.

Highlighted themes: Consensus is not always possible about ideas [though, the group continued working on what they did find consensus about]: *“Because our understanding is influenced or informed by our level of education, by our backgrounds, cultures and all those other factors coming into play. So, it is difficult to bring everyone into one understanding, on a subject, because a subject is so vast to an extent that it can be presented in a particular way only to find that we interpret it differently. As much as we are different.”*

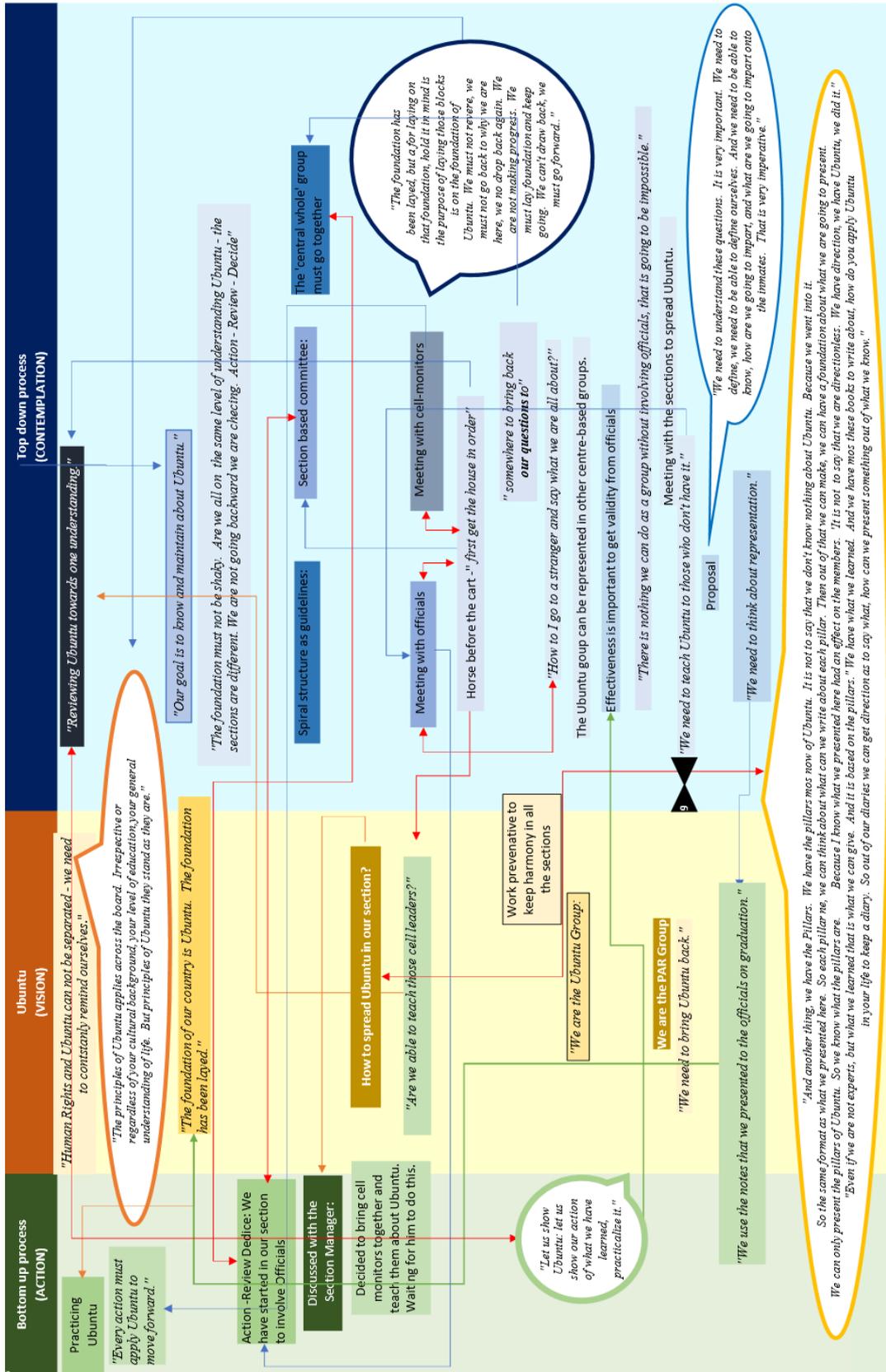
Critical issues: Human rights are integral to Ubuntu and required consistent revisiting.

Consensus/conclusion: The ‘Pillars of Ubuntu Values’ was sufficient to capture and define the group’s vision of Ubuntu (see Figure 4.2.).

Individual anecdote: One of the younger participants had started his preparation work for parole release and discussed the PAR with the social worker who was preparing his report. As a social worker had attended the certification ceremony, they were interested in the group and asked him for copy of the Ubuntu Ethics manual. [Over time the group also became indirectly involved with a psychology project and they were specifically approached by Religious Care for their assistance in a moral regeneration project. Although the group was very excited about the latter, their experience was somewhat unsatisfactory as they had been given limited time and opportunity to be able to adequately prepare together].

Figure of Diagram 5.3.d

Equipping Ourselves: Starting With What We Have



5.2.1.5 Defining Our Purpose: Showing Ubuntu Is Teaching Ubuntu

(see Figure 5.4.a Family Day = Ubuntu Day)

Context: Family Day is an open day when persons can join their incarcerated family members and friends to have a barbequed lunch together. It is a day filled with excitement and energy. The previous session had considered how the upcoming Family Day could provide opportunities for practicing Ubuntu. Their attention shifted from the community to one another as a community, when it became known that some of the participants were not expecting visitors. One participant invited another to join his family for the day.

Process: The group processed the discomfort which participants were culturally experiencing when asked to share how they have helped others. They contemplated and unpacked the meaning of the sharing and its function in the group and eventually rephrased it as giving 'testimony'. Central was the participant who was invited to be part of the fellow group-member's family, sharing his experience and its continued effect. Multiple stories unfolded, demonstrating the manifold levels and ways of Ubuntu and its continuous rippling effects. Re-discovering Ubuntu, the 'action' and 'contemplation' become more integrated as persons 'realised' from their doing, and 'acted' on their thinking.

Highlighted themes:

- A purpose for this group is to learn Ubuntu from each other's testimonies of acting from Ubuntu and experiencing others' Ubuntu-actions.
- Being deliberately conscious of Ubuntu makes one aware of its manifold expressions by both children and adults.
- Family day is Ubuntu day: being connected and feeling connected with others makes everyone more human.

Critical issues: Ubuntu testimonies demonstrated systemic resolution of issues. A lost child was not only returned, but the cause of the neglect was also explored between adults. Preferential treatment for the elderly and pregnant women led to appreciating the community's co-operation and expressing gratitude for their care. The systemic nature of Ubuntu pointed to the potential of its extended impact.

Consensus: Ubuntu had been re-igniting in (as opposed to be taught to) participants as a ‘natural’ aspect of humanity which was already inherent to them. By being sensitive for opportunities to show Ubuntu, others could also experience and re-learn it.

Individual anecdote: A CM had given feedback about disciplining a new inmate’s disrespectful behaviour with cleaning duties, which had led to exploring the issue of punishment. He used his journal to keep notes. *“After 8 days people started to help, even the ones who he was fighting with, started to help or assist him in cleaning, and he went around the section, talking to his friends or brothers, I don't know. He came back to me on the 10th day, and said to me, 'you know, Baba', because (that is my name in the cell), I thought you were making me a fool, but now everybody who I spoke to, told me that, I am lucky to be in your cell. The punishment is not that you are fighting with me, or you don't like me, you understand, but it's to bring me back, because I didn't see anybody in the cell..., I didn't see that I am living with other people, is that I have to adapt to the lifestyle that you are living in this cell.' Today, if you can take a ruler and draw a line, straight as a...he doesn't fight anybody, he has accepted his mistake and he has apologised to everybody in the cell. So, everything is well between me and him.”* This narration demonstrated that instead of fighting and exclusion, the community was involved to reconstruct the punishment as a way of including and making-part-of. It also reflects how, having become researchers, participants started making notes, became more self-aware, more conscious of processes, relationships between actions and outcomes and more accountable about what they took for granted (e.g., giving punishment as a cell monitor).

5.2.1.6 Immersing Ourselves in Ubuntu: Ubuntu Increases Ubuntu

(see Figures 5.4.b.i ‘Inside-Out Outside-In’ and 5.4.b.ii Unpacking Ubuntu)

Context: The previous sharing of experiences of Ubuntu, provided a steep learning curve. This was now confronted with the statement: *“You need to reflect on Ubuntu, do we really understand? Because it is easy when it is entertaining to understand. **But when I am hard done by, do I understand Ubuntu?**”*

Process: The Figure 5.4.b.i *'Inside-Out Outside-In'*⁸ – named after the research community engagement project within the Department of Psychology at UNISA which the group had become part of (see 4.2.2.3 Chairs) – represents three consecutive sessions. The figure demonstrates the group's analyses of Ubuntu by spontaneously bringing current society events 'outside' (e.g., the funeral of Winnie Madikizela Mandela) and their cells (the death of an inmate who did not have access to his medication) into the group. They were thinking about Ubuntu at a deeper level – not only when present, but also understanding Ubuntu in its absence. In their unpacking of micro events (hooliganisms of the Kaizer Chief fans at Moses Mabhida Stadium, Durban), they started defining and contrasting the systemic context in which behaviour occurs (looting and violence in the North West Province was described in terms of the continued service delivery failures of the government). This process eventually led to acknowledging the impact which the environment has on individuals' behaviour (contrasting the experience of professional nursing treatment at the outside hospital with the lack of care by DCS nursing staff). They realise that Ubuntu is suffocated in environments where anger, frustration and lack of power leads to helplessness. In environments where Ubuntu can be shown, more Ubuntu can be generated.

Highlighted themes: Figure 5.4.b.ii provides more elaboration on the conceptual boxes (see * in Figure 5.4.b.i.).

- Ubuntu solidarity is shown when issues stimulate us individually to work as a team.
- Becoming self-aware of where we lacked and experience Ubuntu (e.g., compassion with others, active showing of humility) can ignite and stimulate our personal development.
- Ubuntu utilitarianism is to enable peace and this often requires personal sacrifice.
- An ubuntu lifestyle requires a continuous responsibility.

⁸ 'Inside-out Outside-in'

"Which is how we see the world, namely, outside of us; although having only one representation of it within us. Similarly we sometimes remember a past event as being in the present. Time and space lose meaning and our daily experience becomes paramount." Magritte 1951

"This is how we see the world. We see it outside ourselves, and at the same time we only have a representation of it in ourselves. In the same way, we sometimes situate in the past that which is happening in the present." Magritte 1960

<http://www.mattesonart.com/the-human-condition-1933--1935-with-articles.aspx>

Figure 5.4.b.ii

Unpacking Ubuntu

*** Ubuntu as SOLIDARITY (group process):**

- *"When I like a chain, a linked chain, we are not a broken chain, we are a different chain, a linked one, we are united, solidarity."*
- *"So working as a group, it gives us that thing of working as a team. So we conclude something that is relevant. What's happening to us, as inmates. So it doesn't matter what, or how somebody ask a question. It is just, what is included is up to us as a group to cover the right answers. I think teamwork is more important."*

*** Personal development and SELF-AWARENESS through Ubuntu:**

- Ubuntu as recognising compassion for Winnie
- Ubuntu is humility

*** Towards Ubuntu as UTILITARIANISM:**

- "Let there be peace" as the display of Ubuntu
- Ubuntu as sacrificing for society
- It is expensive to lead the life of Ubuntu in terms of enduring personal hardship.
- *"Mandela, he sacrificed his life for the Struggle...."*
- *"Winnie's Ubuntu was perfered, because of the hardships that she went through to display her Ubuntu. "*

*** Ubuntu as a LIFESTYLE:**

"He (Pres. Mandela) is living it. He is living Ubuntu . Of which it is a challenge to all of us. To take responsibility. Live it continuously"

*** Ubuntu as LLIBERTY:**

- *"No, me I wanted to reflect on what happened inside here. Yes, you know the beauty of spreading Ubuntu in the cells, you know, somehow, somewhere we do see somethings...I was shocked when there was a conflict. Someone stood up and...reflect that: 'no this guy has been talking about Ubuntu. What is happening here, it is not Ubuntu.' You know and then people, suddenly they calm down and then they result the matter easily. And then there was peace in the cell. So all I am saying Gents, even how hard it is, let's try, you know, and engage with people . Ubuntu, the fruits are there."*
- *"So, acting Ubuntu out, sometimes it changes your environment. "*

*** Towards Ubuntu as /& HUMAN RIGHTS:**

- *"What Ubuntu says, I am because we are' Ubuntu says, when we fail, we fail together. When we win, we win together. So Ubuntu was absent in the whole scenario that transpired at Moses Mabita. Ubuntu does not call for us to abuse people's entrenched rights. I saw someone being bashed,, kicked. Peoples lives were being endangered. It has nothing to do with Ubuntu there."*
- *"Ubuntu calls us to fight for other people's rights. If you see other people are being oppressed, and you are fighting for their rights, against the power that are oppressing them then that is Ubuntu . I'm not saying this one has to be superior to the other. But I am saying do not oppress this. Let us be equal, that is Ubuntu. "*
- *"Immediately you become violent, what happens to the rights of the next person? "*
- *"You can't do something when you are angry! "*

*** Ubuntu is "to GIVE CREDIT where it is due":**

Helplessness (anger, frustration, lack of power) suffocates Ubuntu

When people are peaceful protesting, the government, or powers that be, they don't take it seriously.

Even here in prison I have realized that sometimes when you are fighting for your right if you come peacefully, they don't take your serious. But, the moment you escalate it to another level, then they take note.

So now people are frustrated and they are being pushed by that frustration to end up loosing their Ubuntu and behaving like they did."

*** Ubuntu increases Ubuntu**

- *"So, acting Ubuntu out, sometimes it changes your environment. "*

- Ubuntu is to show appreciation when it is due.
- To give Ubuntu is to be free, Ubuntu is liberty.
- Ubuntu involves respecting others' human rights and fighting for their rights.

Critical factors: Politicians' fighting for power has disconnected politics from society.

Conclusion: The delivery of services (health and corrections) is vulnerable to the lack of Ubuntu in the environment. At the same time service providers are also powerful to create Ubuntu. Therefore, it is essential that services providers should be trained to understand Ubuntu.

Individual anecdote: One of the elders shared his surprise when he realised that his discussions of Ubuntu had a direct impact in his cell. When a conflict started to escalate, another person stood up and reminded everyone that they had been talking about Ubuntu and "*what is happening here, it is not Ubuntu*". By hearing the concept, everyone calmed down and resolved the matter in a way which left the cell in a peaceful state. The anecdote demonstrated how powerful the associations with Ubuntu could be, empowering persons to be 'their best selves'.

5.2.1.7 Positioning Ourselves: Ubuntu And Society (see Diagrams 5.3.c.is and 5.3.c.ii Contextual Factors That Increase and Suppress Ubuntu)

Context: Following the group's 'unpacking' of Ubuntu in terms of the events around them, a session was used to prepare for the long-awaited visit by academic philosophers from the local university. There were mixed feelings about this, born from a concern that the process may not be real. The group reminded themselves that instead of saying what they think others want to hear, they need to share reality as it is – the doing of reality. An exploration of concepts such as philosophy, truth, empirical evidence, and generalisation followed. The meeting with the philosophers opened with the group introducing themselves as the PAR Group, who is doing research – a process of learning from each other, to '*see where we want to be*'. Three sessions with the philosophers were documented of which the first and last were transcribed. The current process of the group positioning themselves, involved five transcribed sessions over a period of three months.

Process: Figure 5.4.c.i *Thinking With Philosophers*, represents a collaborative formulation of Ubuntu and Society by the PAR Ubuntu Group and Philosophers as manifested in their questions and reflections. The individual is placed as the central point where the impact of history and the potential for the future comes together. This individual stands in the context of their immediate circumstances (in this case DCS) and their society. Onto this position plays in either pre-conditions (valued principles) which will enable Ubuntu to flourish in one's community, immediate location and oneself and/or conditions which suppresses Ubuntu (e.g., fragmenting values from wealth and power). See Figure 5.4.d.ii *Contextual Factors That Increase and Suppress Ubuntu*. Utilising the resources from the Ubuntu Group and their community, the participants fuelled their individual integrity to contribute to Ubuntu from the 'inside-out' (self, cell, section and centre). Ubuntu in the immediate environment touches both the individuals therein and the community around it. In this way, changes in individuals can be sustained and relapse prevented.

Highlighted themes:

- The environment has a significant role to play in the realisation of values, Ubuntu and therefore humanity. It can either contribute or suppress the improvement of our society (see Figure 5.4.d.ii).
- It is here in the present, where the past and the future meets, where we have responsibilities to individually and collectively identify and address conditions that suffocate Ubuntu and to create the pre-conditions that are required for Ubuntu to flourish.
- The following pre-conditions are required for Ubuntu to flourish:
 - **Harmonious spaces** where we are ourselves and our differences can strengthen us.
 - **Leadership** that is empowering society, protecting the dignity of persons in lower positions and looking out for the weak and the vulnerable.
 - **Economic equality.**
 - **Interactions** that are based on acknowledging each other as equals, wanting to be in a relationship, exchanging as friends in a consistent, friendly manner.
 - **Communities** that deal with the causes of suffering and care for the vulnerable.
 - **Money** as a source that prioritises deeper values and protects human dignity.
 - **Loyalty** which is shown with solidarity and compassion, correcting persons where they are wrong and raising them back to a position that is best for the community.

- **An individual** is able to treat others with dignity, to listen to them even if they are giving critique, to develop better relations and to become a better person.

Critical factors:

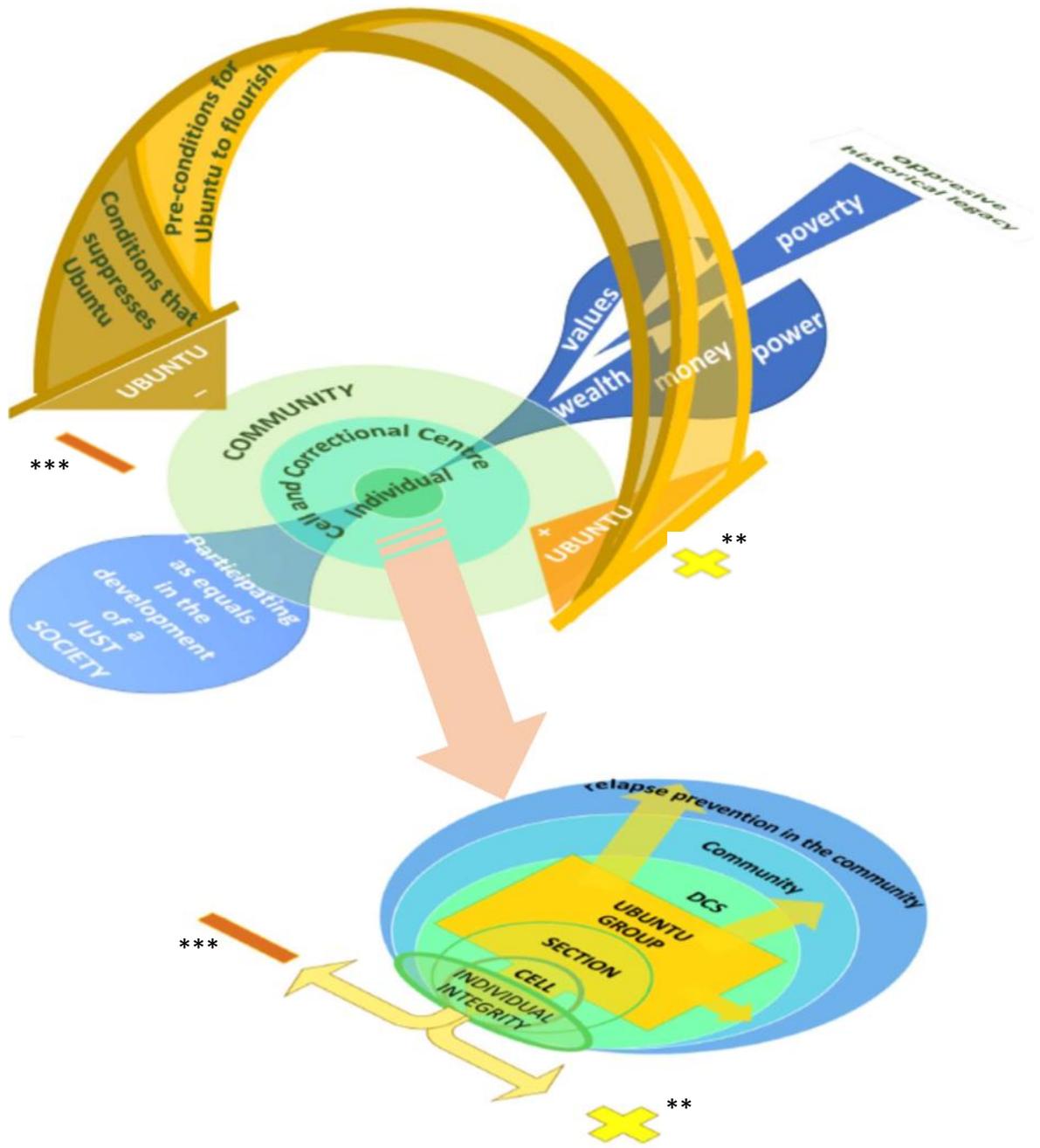
- Poverty, caused by past oppressive historical legacies, has violated persons' dignity. Consequently, values have become fragmented from factors such as money, power and wealth. In a healed society, values are re-integrated with its resources and its members can participate as equals to continue with the journey of discovering, establishing, building and developing a just society.
- In some Units inmates are expected to squat on their heels in order to be counted: *"That is a punishment of the olden days, were apartheid used to make people feel more smaller morally. 'Look, whether you like it, we are going to make you to do this.' You know, they used to make people to, suffer and that and it continued, because you must remember, the members that we have, they come from old order...(t)hey were never taught, things have changed, you are free now, people have got rights, you must allow people, you know. "*

Consensus: The goals of the Ubuntu PAR group is to know Ubuntu, to maintain Ubuntu and to spread Ubuntu in our lives, our cells, our sections (this may be individualised to suit the different dynamics of the different sections), DCS and in the community in order to contribute to relapse prevention.

Individual anecdote: Each cell has a bed access waiting-list. A new person in the cell paid the acting officials (while UM was on leave) to override the waiting list. *"Though we tried to discuss it and say, 'no let's apply Ubuntu, let's think about those who are already on the queue', only to find that we were overpowered by the authorities. Which is very challenging at this, because tomorrow, someone else, when he does it, the very same authorities will have a problem with it. So, we are still challenging it, but in the right way, you know, using Ubuntu. Hopefully we will be able to solve it. We are going back to the managers to sit them down to rethink of their strategy what they did, if we can convince the cops to understand, they are breaking the rules of Ubuntu and even, if they think, their own rules."* This narrative illustrates Ubuntu's limitation and the participants' vulnerability. It is very difficult to represent Ubuntu in conditions where disrespect for human dignity is underpinned by power inequality. Consequently, the participant first lost his position as cell monitor. Then the participants who were addressing this were transferred. The incident convinced the group that Ubuntu has to be taught to the officials as well.

Figure 5.4.c.i

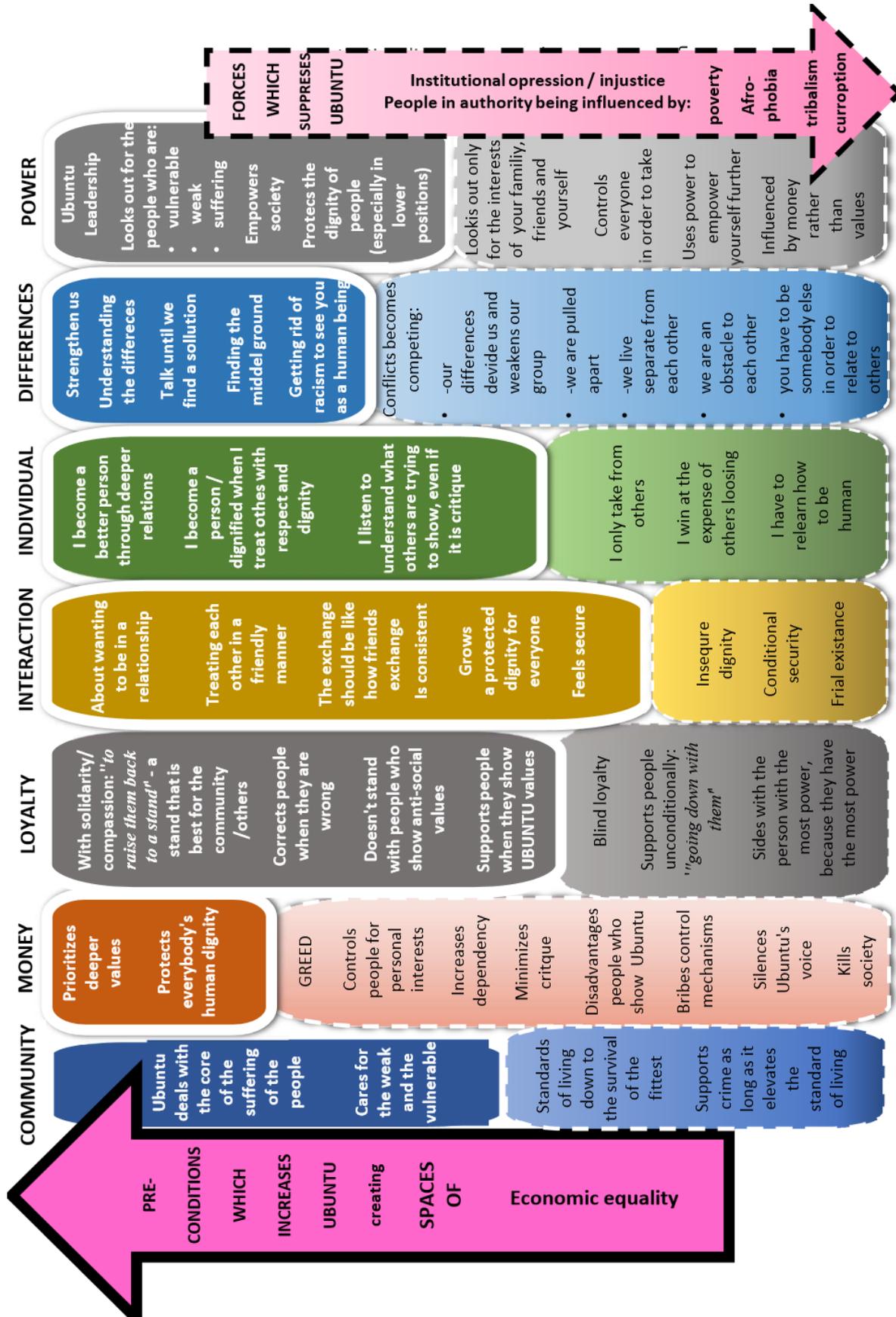
Thinking With Philosophers



Note: ** & *** See Figure 5.4.c.ii

Figure 5.4.c.ii

Contextual Factors That Increase** and Suppress*** Ubuntu



5.2.1.8 Application: Ubuntu Project to Address Substance Abuse

(see Figure 5.4.d)

Context: Defining a purpose occurred during a challenging time. Dissatisfaction was expressed that contemplation was not being put into enough action. It was, however, gradually emerging that the application of principles had significant negative consequences, with the system resisting change. Suddenly most of the Elders (who were more confident to speak out about their application of Ubuntu values) were to be transferred. Unrelated to the group, public complaints about corruption in the correctional centre had been made with potential investigations threatening. There was an uneasy atmosphere of mistrust and suspicion. The issues and concerns around drug abuse continued to be raised as a topic.

Process: Figure 5.4.d *'To Assist or Not to Assist'* refers to the young men with substance abuse problems and how the participants decided to take on this unlikely project. The spiral represents the organic processing through four organising executive functions. Individuals' chronological contributions move the group through planning, analysing the issues involved, considering their resources and limitations and then moving into planning again.

Highlighted themes:

- Substance abuse is not sufficiently addressed in DCS, especially in terms of the youth who do relatively short sentences. The problem is unbearable for some inmates (e.g., having to share the same spaces, being concerned about their own children).
- Incarceration escalates substance abuse as it continues to provide bad influence, significant boredom and very little positive alternatives and experiences.
- The dealers in illegal substances are powerful and play a systemic role in maintaining the problem.
- Rehabilitation programmes should be active to maximise impact in a context where negative factors are dominating and staff should be involved in understanding the issues.
- Consistent research in Ubuntu needs to be done to understand the positive and negative influences interplaying in the complex environment of incarceration.

Figure 5.4.d

'To Assist or Not to Assist' (the youth with a drug problem)



- *“So we have identified that we have the problem of not finishing what we start, we have the problem of not communicating. We have so many problems, us, among ourselves. But for us to corner these problems, we need sessions like these where people air their views, clear their views, when all is said and done, then we find the straight forward way that from today onwards, let’s do this, let’s do this.”*

Critical factors:

- *“But now, our society is, has a mindset that says, violence is the way to solve problems.”*
- *“Is this current system achieving its objectives, this system of punishing people, does it achieve its objective? Does this punishment deter people from re-offending? But now when you look around you see people coming and going etc. This system seems to be failing, it is not achieving anything.”*

Conclusion /consensus: The group had agreed to formally establish themselves as the *Ubuntu PAR Group*. The concept of ‘PAR’ had become part of their identity and they decided to continue: *“And we need to be out there, and consistently do this research of Ubuntu”*. *“We are not (only) teaching and learning, but we are doing research here: we identify a certain problem, and then we use our analysis to solve that particular matter.”* Their first official project was to work with the DCS official and community member to organise substance abuse training for both the group and the persons with addiction who were willing to join them. Following this the young men who had been asking for help were to be invited to the sessions. Links had already been established with the professional services to assist the relevant persons to access these resources.

Individual anecdote: A person who was usually quiet, shared a personal and sensitive issue. He was disturbed that during his religious retreat, fellow church members showed excitement watching a heist on tv and continued criminal discussions. He briefly left the retreat to ask the group how to deal with this. The suggesting strategies were derived from cultural, social, Ubuntu and personal experiences and in following sessions the group followed-up on the matter. *“I came to deliver and praise the word of God. I don’t want to see myself there. I live my life alone with people who are positive.”* Although the individual didn’t feel that he had made any long-lasting impact on the members of his religion, the anecdote illustrates the group supporting him in his personal crisis. In the mean-time, one of the elders had become more conscious about the issue of media and the reinforcement of

violence. He reported how he was addressing this: *“After the whole soapy I will talk to these guys on a positive note, and I would mention to them, ‘you know the ways this character influenced the young people, that is what happened to you out there, and it is not good, but at the same time, try to look into this programme and see what would be the negative outcome of the one character being influenced by... (group helps with recalling the character’s name). And I realised that, when I started to talk on the positive side of these things, these guys listen. And every time, when these programmes are playing, I am not lying to you, there are about ten people lying around my bed, that is watching this. And I keep on feeding them with positive things, ‘guys, guys, the way (group assists with recalling the character in the wheelchair’s name) this is exactly your lives, and I think this is an opportunity how these lives are telling us something. So really we need to stop this thing.’ And I can sense that there is a change.”*

5.2.2 Summary and Conclusion

Analysis of the PAR process demonstrates the generation of transformation. The two-dimensional diagrams represent a phase in which there was a top-down focus. (It is possible that this focus could also be determined by the analysis rather than the group process). This focus aimed to have formal structures from which as many people as possible could be ‘converted’. Real events, both in the community and inside the correctional centre brought the real-life applications of Ubuntu into the discussion, evolving its focus. The participants immersed themselves into understanding the real-life implications of the principles they were standing for. Gradually they started applying and developing models which could make a difference from a bottom-up approach. This phase is captured by the more three-dimensional figures. It seemed to reach a special consolidation with philosophers, taking a strong meta-perspective, positioning Ubuntu and the group in society.

The quality which the circular approach of Ubuntu’s *agreeing to agree* brought to this process allowed clear unifying themes to emerge out of tensions. It didn’t require a facilitating Freire or educator. The communal group process itself used the energy, building with the tensions, resolving them. Each outcome developed progressive resolutions, initiated sequential themes and new tensions. This spiral-process alternated between the abstract and the concrete, individual and social, real and potential, the factual and the imaginary. It gradually evolved into a more complex, multi-dimensional, systemic intervention which was grounded in the participants’ experiences and activated resources. In

some ways this may serve as a re-phrasing of Freire's reference to achieving unity between theory and practice, through "epistemological curiosity" (Freire, 1995, p. 382). In this study, the epistemological curiosity was framed by the theme of Ubuntu, which gave purpose to the real-life project.

5.2.3 Conceptualising the PAR Processes

It is revealing that the eight processes seemed to end where most studies would perhaps intuitively be expected to start – taking on a specific project. This point was however preceded by a group process of Freirean-like dialogism which made it transformative. The development of the eight themes and outcomes were further conceptualised to assist generalisation. **Table 5.3** summarises the processes by which the group engaged in naming the world and our relationships with it, an engaging with the world which made it less static, less distant and transformed it into changeable processes. To facilitate the re-application of these processes in other contexts, each theme is represented by a question, an answer and a task. This is done with the awareness that such a conceptualising should not represent classic-academic artificial demarcation of what was integrative, fluid and holistic. It is therefore important to acknowledge that these processes only serve as a frame of reference to determine where a development is at. In the study, the directionality and evolution were often not consciously experienced and the gradual nature thereof at times difficult to endure. It was likely that unrealistic expectations had been the source of the participants' self-criticism. My concern with rephrasing their criticism is based on the motivation to avoid experiencing failure and to maximise errorless learning. The group benefited from formulations to summarise and capture the process (the initiation thereof gradually shifted away from me, see the quote in section 5.6 demonstrating an exceptional formulation and summary by a participant), from joint reflection and validation and the sharing of findings which persons discovered in their own lives. Access to a 'map' of this developing 'path' (as provided in Table 5.3) would have assisted understanding and prevented the self-criticism we were at times prone to. By the time the group were formulating a project it had evolved a positioning which had included joint reflection with the community. The group had positioned itself in the world according to multiple quadrants (e.g., history, time, space, values). It is from this informed positioning that their project was defined.

Table 5.3*Conceptualising PAR Process Development*

Process	Question	Answer	Actions
1.	How do we describe what we want to do?	Utilize our resources to develop an aim together.	<ul style="list-style-type: none"> • Explore finding a pragmatic aim.
2.	What do we want to achieve?	Clarify how our resources can achieve our goal.	<ul style="list-style-type: none"> • Define a goal we can all agree upon.
3.	How are we going to achieve this?	Explore possibilities / resources.	<ul style="list-style-type: none"> • Contemplate, test and review different models.
4.	Where do we start?	Equip ourselves and thus starting with what we have.	<ul style="list-style-type: none"> • Frame the vision into a joint understanding.
5.	How do we understand our purpose?	Learn by doing.	<ul style="list-style-type: none"> • Act consciously. • Reflect on the systemic (rippling) impact of our actions. • Decide how to influence these.
6.	How do we guide our actions?	Immerse ourselves in the principles involved.	<ul style="list-style-type: none"> • Reflect on the meaning of what happens in the world around us and our context. • Understand the values, of ourselves and of others. • Clarify how to assist positive changes.
7.	How do we contribute to society?	Position ourselves In society.	<ul style="list-style-type: none"> • Think with the relevant community about how to create a better society. • Formulate the conditions which society needs to develop and the forces which impedes this. • Develop a holistic view in which to determine where contributions can make a difference. • Link our role with the past, with previous deconstructions and the views of how to go forward.
8.	How do we apply our principles to address an issue we are concerned about?	Start with a project to address a specific issue.	<ul style="list-style-type: none"> • Analyse the problem. • Specify what we know. • Define what we have. • Determine what we can do. • Clarify our limitations. • Develop a feasible plan to address a complex issue in a meaningful way.

To demonstrate the generalisability of the multi-theoretical application, the three theoretical fields and action research steps have in turn been superimposed on the eight processes. This is summarised in the table provided in **Appendix 5.4**.

5.3 Discovering Ethics as the Essence of a Rehabilitation Model

Ethics had become an important theme of the study. However, it was an unexpected finding to discover ethics as an inherent automatic process emerging from two independent analyses. First, the thematic analysis (TA) of the theme 'community' demonstrated ethics gradually emerging from the group's thinking as the quality and level of their inclusion developed and they became more empowered (see below, KEY: Table 4.1. months 12 - 13). Secondly, the outcome analysis of crisis management demonstrated the procedural revelation of complex ethical reasoning (see 5.3.2, KEY: Table 4.1. month 14/27 4.▀). In both examples ethics were not consciously applied, but spontaneously emerged in the context of a) community inclusion b) functioning as the Ubuntu group.

5.3.1 Transformative Community Involvement (KEY: Table 4.1. months 12 - 13)

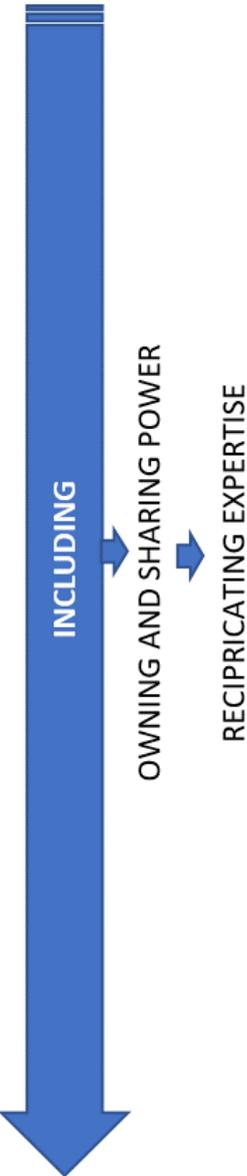
'Community' is an essential aspect of the proposed rehabilitation model which this study investigated. The theme was introduced to the participants when the study commenced. The analysis of the transcriptions of Phase IV included 1) all references made to the community in general, 2) any direct or indirect contact with people from the outside community and 3) the actual interacting with representatives from the community. It involved a period which includes prior to, in anticipation of, during and after working with a diverse group (in terms of gender, age, qualifications, race and nationality) of philosophers in a participatory way. The chronology allowed for the micro experience to be captured which demonstrated five levels shifting from *exclusion to qualitative inclusion*. **Table 5.4** summarises the parallel steps of empowerment occurring within each level which makes community inclusion transformative.

Level 1: Thinking about the community (THEM - distant)

The first level, *thinking about them* was associated with distance. Following relatively substantial direct and indirect exposure to the community in the previous phases, the group's reflection indicated a gradual re-positioning. A movement is indicated from feeling

Table 5.4

Transformative Community Involvement

Inclusion		Empowerment
Quality	Level	
	1. Thinking about the community (THEM - distant)	a) Exclusion b) Feeling powerless c) Seeing us through their eyes: stigma d) Towards feeling compassion e) Towards reaching out f) Towards finding voice: talking 'from the out-sider' perspective
	2. Experiencing the community (THEM – closer)	a) Towards inclusion b) Experiencing a different use of power c) Seeing us through their eyes: validation d) Towards receiving compassion e) Towards finding sameness f) Towards finding the power to voice
	3. Experiencing with the community (US)	<ul style="list-style-type: none"> Thinking together as experts <i>Being</i> community
	4. Empowering expertise (CHANGE)	<ul style="list-style-type: none"> A community changing Effecting change from the position of incarceration
	5. Enabling inclusion (DEVELOPMENT)	Recognising & addressing (still) excluded communities e. g Xenophobia & people abusing substances

exclusion, to expressing compassion (attempting to understand the exclusion), to thinking of making contact. The distance becomes utilised to 'look in to' and find voice about what is seen. Participating in a process thinking about the community, positioning self in terms of the community, **finding voice as well as finding a message**, generated shifts in empowerment. This process occurred in the following steps (a-f):

- a) **Exclusion** - Thinking about contact with the community from an incarcerated environment triggered the perception of being different to a community of distant strangers. *"They do not know what we have gone through in life."*
- b) **Feeling powerless** - Labels and stigmas that maintained this 'otherness' and exclusion were of primary concern. Such adversity immobilised change:
*"Even us here who are sitting here, we have a lot of stigma. That is behind us. But the constitution of South Africa, it says that I, after being sentenced, I don't owe anyone. But there is that thing, that this one is a criminal. After being sentenced, no-one is supposed to be discriminated upon when you leave the centre here. **But the community outside does not want that.**"*
- c) **Seeing us through their eyes: stigma** – Participants helped one another to understand stigma. The community resented resources being available in correctional centres (e.g., education) and families have to deal with life's issues alone. *"The communities outside there, we have done wrong. They have a **particular perception** about us."*
- d) **Towards feeling compassion - The statistics of re-offending was of particular concern.** Statistical (by implication, criminology) externalising of crime was of value: *"It will let us stand away from ourselves and see how the communities view it, crime."* *"This will help us understand why it is not easy for the public to accept you."*
- e) **Towards reaching out** - Compassion, moved the focus from being helpless to understanding and then to imagining what can be done about stigma:
*"Documentaries should come up of people who come out of prison and succeed outside, **telling their stories**, the challenges that they face, so that the community will understand us better. They cannot understand us better unless our story is told by us, as who knows the situation, as who walked this road. We understand it better than someone whose observing from a distance."*

The process was reversed and applied to the community in turn [maybe, if you, in turn, also understand (us), you will, in turn, also learn what you can do about this situation (crime) and reach out in meaningful ways instead of avoiding and

continue excluding]. The group started thinking differently about inclusion:

“Don't tell the community that, 'I want to change'. Act, show them that you are changed.” People were identified who could assist: ex-offenders, academics who write about Ubuntu, researchers. They were to be invited to come and speak with them.

- f) **Finding voice: talking 'from the out-sider' perspective** - This position was now used to 'look in' and comment on society: *“The woman who got hurt, the security guys...that got hurt... (by) they (who) were storming to go beat up Steve Komphela. Was it right to beat up and bash Steve Komphela and bash the surrounding of the environment of the stadium?”* Subsequently, society issues (vigilantism, violence, media & politics) were discussed, analysed and evaluated. In their introduction to an 'audience with expertise' the participants positioned themselves from a group identity, having read academics work about incarceration:

*“(T)his prison is different, we don't have to, like put a macho front to survive. We are more **open for learning**. So, I want to extend the invitation on behalf of the group to say that we are open to what you are doing, your research.”*

From this position, the group, in turn, also 'speak their expertise' and said what needs to be heard: Society's issues (including Ubuntu, trust, justice) are important for persons who are incarcerated, who are willing to think deeply about these issues with the community. *“All of us here are crying about justice. We say there is no justice. We believe it belongs to certain people.”* When working with incarcerated people, society are working with persons who want to make real changes in society. *“All of you will be grilled... When you come back, come back prepared.”*

Level 2: Experiencing the community (THEM – coming closer)

'Inclusion-exclusion' are not necessarily static conditions to be reached, but more dynamic and temporary. Based on first-hand experience, there was mistrust in the process of visiting 'experts' to a correctional centre: *“I have challenges with philosophy, because at the end of the day in a place like this, they are being told, what they want to hear.”* The second level involved the experiencing of *real persons* who represent the community from within their role of expertise (philosophy). The verbal statements of both the participants

and the visitors are being interpreted here through the lenses which were mapped out in the previous theme. This demonstrates the changes occurring as they started *experiencing each other*:

- a) **Towards inclusion** - The emotive significance of experiencing contact with family, loved ones, significant others and friends was often expressed and shared (e.g., about family day): “...so it was a great day. Just as my brothers said here, it was *Ubuntu's day*.” Emotional responses to distant strangers (e.g., TV documentary) were also shared: “..it was for the first time in my life, sharing a tear for someone who is at a distance to me.”
- b) **Experiencing a different use of power** - The philosophers as ‘visiting experts’, had consciously thought about how they were going to engage with the group. They thereby used the ‘implied power’ associated with their role respectfully and responsibly by:
- the way they introduced themselves, explaining who they were, what they were doing and wanting to hear from the participants how this may be useful, what was important to them, and what they wanted to talk about;
 - acknowledging the context and expressing that they were there to have a conversation as equals (not for rehabilitation);
 - enabling the participants to provide feedback;
 - explaining their thoughts and actions (e.g., why they had not brought reading material as the group had requested);
 - equipping participants to understand that they too were able to do philosophy:

*“We look at the things that we believe **and we question**, ‘why do I believe this thing, why do I follow this thing?’ What are the merits, what are the good things about this thing? And what are the bad things? What are other things, that exist that are like this thing? Why do I choose this thing over these other things? So that, when I believe in something, I believe in it with conviction.”*

- giving the group the opportunity to choose their involvement: *“If you tell us, you say to us you want us back, I am willing, we are willing. You tell us what you want to talk about, what you want to discuss, what are the issues etc. And I will just so much enjoy having these kinds of conversations with you.”*

- c) **Seeing us through their eyes: validation** - The participants consistently heard how they were being heard and experienced by their audience of community representatives. *“You see what you did? When I gave you my first answer, I saw, you know, there is a question. And you kind of felt, ‘I’m going to follow this up, this doesn’t make fully sense to me’. That is what philosophers do.”*

They often heard that they were appreciated:

“And when I listen to you talking just now - it is as if this is a modern-day version of Plato’s Republic. Of people talking about the main issues facing our society. What are the tough, hard issues that we have got to deal and giving the ...? So I was, you gave me such a wonderful gift. I could listen to a group of smart people thinking about the issues that we have got to deal with as a society and what are possible solutions.”

- d) **Towards receiving compassion** - The space was actively used to ‘test’ everyone’s (especially maybe the group’s own internalised) stigma: *Participant: “what did you expect when you came into the prison? And what did you think when you saw the inmates?” Philosopher: “Everything I have heard today has just been a light, a bright shining light in a place where I thought was darkness.”* As they had previously predicted - meaningful contact with the community had made them ‘more human’ to strangers. As their humanity (rather than stigma) was mirrored back, they had also reversed the community’s compassion (see 1.4 above):

“I think that I’ve learned that I have been wrong about so many things that I had about the idea of what it is like to be in prison. And I will just put a full-stop there. I’ve been wrong. [Group: applause.]”

“The other thing is you’ve shown me how a human being can deal with a difficult situation. I don’t think this is, I don’t think I really understand your situation. I’ve got some idea; you have given me some idea. But if I look in your eyes and I see how you deal with it. I am proud of being a human being. I see human beings at their best.”

Experiencing the participants’ humanness, could also allowed for change in the philosophers: *“Seeing people think beyond their circumstances. It is empowering for me too, so thank you very much.”*

- e) **Towards finding sameness** – Thinking together in contact-making, similarities were shared of how persons were struggling, trying to make sense of, dealing with and being challenged by, similar aspects e.g.:

- on ubuntu, justice, trust, exclusion and inclusion:

“I look at trust from where it starts from. It is that ability to integrate fully into a community of people. So, I take it that when somebody comes to have an

*experience like the one that is in the correctional facility, they are more like detached from society. So, I don't normally focus on the life of people inside the correctional facility, I focus on the life of people who are leaving prison. So, this is where I feel it is more like a stranger coming back to society. So how do we look at a person who is from a prison? How do they trust us? And how do we put trust on them? So, this is more like the self-experience that today I have heard on the other side of it, where I am the one, **coming to have a conversation and a talk with you.**"*

- on imprisonment:

*"Challenge what society sees as normal. Those things are not always normal. I mean, the way we treat people is not normal. But everyone thinks it is normal. Because that's what everyone does. But because everyone does it, it doesn't make it right. And we need to question what we do. **We need to question why we do these things.** We need to question the beliefs that start and lead to actions."*

The participants recognised themselves within the experts, e.g., actively connecting a notebook entry with the visitor's contribution:

*"Eh, he has actually said what I have always had in my mind. Because you know, as a person living in the community, giving yourself to the community - if I may just, read this small paragraph here: '...relationship with the community: a person should be treated... self in the community should be important for growth and development. Respect, sacrifice and selflessness give or brings harmony. When there is harmony. When there is harmony you will have unity. With unity there will be compassion, loyalty and dignity.' Then there must also be truthfulness. **Meaning, I'm taking from what you have just said.**"*

- f) **Towards finding the power in voice** – In this space persons could experience the use of their voice with an audience who was listening, they spoke with an empowered voice:

- providing the philosophers, the space to explore what role they could play in a correctional centre: *"It is up to us to entice; we have to trigger them to come back."*

- communicating what they had previously found useful;

*"with Fikile - you know, we had notes on ethics we had notes on values and stuff like that. Are you able to provide us with your material that you are studying? So that we can also have it on paper, documented - than just us having these discussions? To keep it going and not just have it been said. **What we have discussed, everything was noted, everything was documented, and we still have those, and we can still look through it and go back and be able to tell others and teach others going forward. So, with your material, with what you are studying, if you could share as well.**"*

- expressing *what* and *why* (as opposed to only *that*) they appreciate;

“And when you came on board, it made sense, why some of the things, that are happening out there, in courts, etc. even here, we don't understand. And it seems to come to the fore now. And therefore, I think, like my brother has just said, your input, is of great value to us”

- giving the community a task: *“Bring more people to speak about Ubuntu, we are going to grill you.”*;

*“Hopefully, hoping that you to, did not just feel, but we have touched the feeling that you wanted to know, or experience coming into prison. And I hope, going out here, you will not keep it to yourself, as she has just requested. You know, talking to somebody, **you'll spread the word, about us.**”*

- following up on impact: *“From day one when they came, up until today, what sort of feedback have they been giving the people outside with what they have learned, with what we have given to them?”*
- informing the community about *what* research would be useful: *“After there was the TRC [South African Truth and Reconciliation Commission] and CODESA [Convention for a Democratic South Africa. Commencing in December 1991, nineteen political parties and more than 200 delegates, worked together to lay the foundation for the multi-racial negotiations that precede South Africa's transition of power from the Apartheid regime to a democratic society (Jolobe, 2014)]. There was Ubuntu before that. After those things, it is where we lost it. I am asking you to do research on that.”*
- and impacting 'outside'. One member related how in the mitigation of sentence hearing he was heard by the judge:

...and this is what I said, I said, 'Your Honour, Your Worship, I must inform the court, prison is not doing me one bit of good.' He asked me, he said, 'explain yourself'. I said 'at my age, I've got to stand and watch young boys spiking themselves in the open with drugs, I've got to see young boys being sodomised, I've got to live in crowded cells that is inhuman' and then I took out the certificate, I said 'Your Worship, I on my own, decided to take on what has been represented to me and I have started this course on Ethics' and this is what I said, 'it has taught me a lot about Ubuntu', I concluded and ..'.Mr X, I am giving you 13 years, but I am taking in consideration what you told me, and on your own, you have at least tried to do something, instead of young boys spiking themselves, and because of that, I suspend the whole 13 years'. [Group: applaud]

Level 3: Experiencing with the community (US)

The third level captured a qualitative shift from the experience *of* the community, to *how* it is experienced – experiencing community as *us*, experience *as* the community. The

transformation of power becomes apparent: In the 'previous phase' the philosophers owned their power (they were free citizens whom, from their position of expertise, chose to be with the PAR group) and made explicit that they chose how to use their power by sharing it: by wanting to participate 'as equals'. Thus, their expertise was not something which 'excluded' or 'separated' (in terms of rank) but rather a gift which they could offer, something to 'include with'. In such a space the PAR-group 'spoke' their 'empowered voices'. They realised and owned their unique position of expertise. From this position, the PAR-group, in turn, share their expertise, 'thinking together' with the visitors (see a). As equals, all the participants re-reflect and re-experience as community (see b).

- a) **Thinking together as experts** - Sharing information as equals, the experts from the community could ask the participants for *their* expertise:

"What I have been focusing on is what punishment has to do with justice. So when I am trying to create justice, do we have to have punishment? And I guess that would be a very good question to ask you guys is this, 'do you think punishment contributes to having justice?' When you think about what a just society is, or, I don't know, maybe you have a specific idea in your head of what justice is and what it composes, or what it is made out of? What does punishment do for justice?"

The participants played an active role translating philosophical principles into their real-life experiences. Thinking together on justice for example, the need for alternatives to punishing a father through incarceration is raised as this also immediately punishes a family and a community, and impacts an innocent generation. The topics that were touched on, defined, unpacked and translated into practice (though not all at the same depth) included: integrity, what it means to be equals, human dignity, poverty, community, solidarity and loyalty, government, leadership, racism, truth, leadership, corruption, Ubuntu, levels of knowing, religion and church, punishment, challenging society and telling the government what is right.

- b) **Being community** - The group expressed realising less distinction between incarcerated persons and the community: *"Because I believe that the very same challenges that we encounter in this environment, are similar challenges that communities outside are facing."* Together, the incarcerated participants and the visiting philosophers, starting reflecting, less *about*, and more *as* the community:

- A philosophy student shares conceptualisations of African identity as a fellow African:

So that is the one thing, the one issue. Then there is the issue that you mentioned about Africans being the custodians or not being the custodians of Ubuntu. Just a side thing. Africa...has always been...in ...the rest of the world, we traded in the East, we had people coming into Africa even in traditional African societies. So, ideas have come in and left this continent... And we may not be at the forefront of them, but we are at the foundation of it. Because we have a responsibility to ensure that these ideas, which we claim are African, we need to do something and step up and say, 'you know what, we don't do things like this in Africa, we don't like do things like this at all.' We need to stand up as an individual and say, 'I'm not going to be defined by something I don't know. What I am going to be defined by is the community I am with, because they have raised me, or they have given me an understanding, and also what I would like to do to protect someone else. Because I would like to be protected too.' And the idea that we are not the custodians, have relevance, but I think we have a great responsibility as Africans. We have a bigger responsibility than the rest of the world. I don't want to hear the Netherlands have better Ubuntu than South Africa. That doesn't sound right, the word comes from South Africa. And if we ourselves don't understand it, we need to dig, dig into our roots, look further into our past, look into our society right now, look at the problems, and as you identify them, put them out in front of everyone so no one is ignorant.

We know that there is a problem with money, that there is a problem of corruption and when I come, my conscience tells me immediately that there is a problem here. And I shouldn't step away from that, but that I should express it.

So, there is a big responsibility for us as Africans. And Ubuntu does have intimate ties with Africans and we should see that and we should use that. Because we have an advantage in comparison to the world only learning about it. We are born with it, you know. And ya, we should use this.

- A PAR group member reflected on human rights as a middle-aged father:

When a child is taken to school, when the kid comes back from school, comes back...at school he/she is taught about rights. When I as a father don't have those rights. I was never taught about rights. ...the Apartheid-system has traumatised us, yet we are living in ... but we are supposed to fit into that particular community. I ask that those are the things that should be researched as well. These things should be addressed in the community. And I ask that the people of fifty years and over to be counselled. So that we can be able to merger the things that are new. That is what I have to say. [Group: applause]

Level 4: Empowering expertise (CHANGE)

Participating as equals, and contributing from individual positions of expertise enabled functioning as community and initiating reciprocal change in the fourth level. The PAR group saw evidence of how they have changed members from the community, how their expertise

had empowered others (see a). Their own expertise as incarcerated persons became empowered in turn and they started working on change from this position (see b).

a) Community changing - Owning the expertise which the engagement with PAR Group had provided them, the philosophers testified:

"..it has been quite challenging talking to people about this. Because they just don't understand...you know. Like some of our colleagues, they sound very interested - but it seems like they are ignorant, or their lack of knowledge about the place still kind of has them at a distance, you know. But I do think it is very important that we are going to people and that we are telling them about this place and we are telling them about the people in here. And explaining that, there is a change happening within the prison and it is not exactly what you think. It is just difficult to educate someone about something they don't know nothing about. We do have much that we can tell them, it is always interesting for them to hear the stories. But I want to bring them here, and that is the hard part. To just not talk about it, and say 'you know, let's go, since you want to, let's go'. And that is the hard part, which is what I think I have to work on."

"(referring to one of the PhD students) was involved in Catechism in Harare, and he said to me he wants to go the Roman Catholics in Harare and tell them about this conversation and tell them he thinks it is valuable."

b) Effecting change from a positioned incarceration - Within and from the expertise which their position of incarceration gave them, the group started **thinking about change** itself. Examples and thoughts about the process of change were shared: How it occurs gradually, by taking small steps in your immediate environment. Meaningful one-to-one interaction was important. It is easier to learn from somebody once they have become 'human' to you. Crime as a life-style was reflected upon: For alternative lifestyles persons would need both job opportunities as well as necessary skills to maintain healthy and proper relationships.

Their focused then shifted to **what they could do** from their position of incarceration to obtain what they need:

- A critical evaluation of their community contact and how to improve it followed:

"Talking about philosophy, it needs one to be a child. It is the art of asking questions so that we can understand. Philosophy needs one to work an understanding mechanism that is very good. And you should question everything u-philosophy. So we should have a topic because philosophy is broad. They can't

just come here and say, 'let's talk philosophy' - they won't know in which direction we should take because philosophy is broad."

- Planning and organising commenced in how best to employ working with the philosophers. Two visits a month was seen as ideal for it would give them the opportunity to come together in the week in between to reflect: *"instead of making it take too long, so we might lose interest in the interim. If they come consistently it will keep us revived."* Others suggested more collaborative and flexible relationships with the community. Acknowledging the community's limited capacity, they felt that when in the midst of a discussion, they should have more regular access.

"Because everyone is not a good speaker when there are people in front of them - coming together before hand, it can be discussed what they want to ask, preventing people repeating the same questions. The need time to understand what each one wants to know and prepare something as a group. The ideas from the different sections are then shared."

Even when co-working with DCS staff, not having had enough planning time was expressed. Access to preparation space and time was a scarce and valuable commodity. Preparation provided confidence and could assure dignity.

From their position of incarceration, they started **making changes happen**:

- An ongoing debate with another inmate group about the use of *Umpakati* (when authorities hand over the responsibility of 'punishment' to the community of incarcerated persons) being against Ubuntu principles started having effect:

"...we no longer assault people. What we do now, like Mr X has spoken about last week. We had several meetings whereby we are starting to implement our punishments - this is the example I gave; we give now in your cell we give you 102 days. That is half a year, if you want to stay in that cell. You clean for 102 days. If you don't want to, go to another cell."

- Philosophy expertise was being used to do research:

"I have tried to imitate such people and come up with my own questions, such as people like Socrates, to say that, here is a taxi driver. He has been driving a taxi for 10 years. Here is someone who has just got their licence, who went to 10 lessons, they went to the test, they wrote the licence, the test, and they got the licence. Of the two people, who is the better one."

- The failing of correctional centres was being addressed:

“So now my question is, us as PAR Group what is it that we can contribute towards how or a suitable system to achieve to deter people from committing crime. No 2 to ensure that those who have been caught in the system, they don't go out there as raw as they came in and continue reoffending. So now there has to be something that we can say or contribute towards that. And at the same time, I am thinking our outlook should be, because there are so many factors that contribute towards people offending. Those are element that we need to have in mind. Because most of the people who deliberate are co-ordinators of crime prevention and all these things. They look at them from a theoretical point of view they are not part of the problem. But we are part of the problem I think better solutions could come from us as a group.”

Moving to the fifth level, one of the most pressing issues started being addressed – substance abuse. The group was determined to find an NGO in the community to help them (see section 6.2.3.d).

Level 5: Enabling inclusion (DEVELOPMENT)

In the fifth level the empowered position of expertise was used to identify and address those who are (still) excluded. Circularity is demonstrated as the process moved into a spiral: Inclusion facilitates community development. Developing communities facilitate inclusion.

Thinking as the community about principles and change together – the PAR group utilised their empowered expertise to identify the excluded and to attempt mobilising and channelling the expertise of the philosophers in turn:

“I notice something that is missing here in this group, we are always speaking about Ubuntu and economy, Ubuntu and culture, Ubuntu in the community and all that, but no-one has said something about Ubuntu and immigration. Now, I stand here now as, an immigrant in South Africa. From West Africa. And one of the greatest problems in South Africa is the immigration issue that is the xenophobic issue. About citizens in South Africa in the communities, discriminating people's shops, discriminating...there is no Ubuntu there. So, I am hoping that you guys, I can see you guys now, great minds, bright minds, I hope that you are researching that, please can you answer that.”

The elicited response from the professor again affirmed and validated sameness, inclusion and ‘being community’:

...if we come again, I can ask my other student... doing his doctoral degree, he is from Uganda. He works on the topic, 'justice for migrants, how to educate citizens to treat them properly'. And just imagine how you could talk to him, because he is a migrant himself. He is experiencing xenophobia. So maybe in future, we can bring him as well. [Group: applauds]

The model shows how moving from thinking about the community to experiencing the community in a different way enabled empowerment and led to meaningful changes, in both the participants and the community. It was, however, not necessarily consciously experienced as this – the analysis does not capture how hard everybody worked to create, how lost we felt at times, how complex it sometimes seemed. We did experience that much was happening, and this experience and/or belief in the process assisted us to intuitively continue with it. Understanding this journey, and knowing where it led to, may have enhanced it more.

The changes that occurred should be seen within the context of a longitudinal project. As dialogism would explain (Heynes, 2014), they had not necessarily occurred because of a specific intervention, but were related to what had transpired before and how it was connected with what could follow. This determined the climate and the meaning given to the philosophy visits, contributing to how it was experienced. The Ubuntu ethics principles provided the theme of the project, whereas transformative and participatory values (as informed by critical criminology and community psychology) informed the *how*. Neuropsychology informed the *what*, making us more deliberate in our application and reflection. Inclusion provided the goal and eventual outcome to strive for. By just doing and giving us, insiders and outsiders, the space for reflecting, we were consistently learning how to do it right, by consistently trying to learn how to do it right – we were helping each other, respecting, acknowledging, utilising the fluidity of our different roles and positions of expertise, our privileges and powers.

It is as if the group, in their realisation that they can ‘reach out’ became empowered to use their position as outsiders to look ‘out’ and ‘in’ on society. Hereby, they could in Freirean terms, name the world, inform the world, help transform the world. This, in turn, involved a community listening, relating and reflecting together. Because so much of social behaviour occurs on an unconscious level, it seems unrealistic to expect that cognitive interventions can by itself effectively cause behavioural change. By persons physically working together, experiencing co-operation, collaboration and sameness, this tremendous, and perhaps largest capacity of the brain can be elicited to enable change – a change that occurs from itself, thus automatically, bottom-up. Bargh and Charand (1999) have demonstrated how relationships are formed by people subconsciously mimicking each other – it would imply

that it may require us *experiencing our sameness* to establish good relationships. Only inclusion makes the experiencing of our sameness possible.

5.3.2 Community Representatives

Engagement with the community formed an important aspect of this participatory action research project. In its conception it required exemplary representatives from the community who were willing to be ‘brought into’ a correctional centre to engage in a meaningful process with the participants in a sustainable way (ideally). The study had revealed how a real-life project can develop a reciprocal relating with the outside on various levels from including the DCS fraternity, to representing individuals from the community and even indirectly with macro systems such as academia or justice.

As had been the case with reports from the preceding phases, analysis of the transcribed recording demonstrated natural shifts occurring within the group discussion. It was thus only with the analysis of the data that the unconscious nature of the changes was discovered and appreciated. These were intuitive, felt processes, that were initiated from the inclusive participation itself. They had not only occurred in the participants, but more importantly for the model, in the community as well:

“I thought philosophy has taught me everything about not just accepting what you read or the mindsets that you have or the way that you think. And I thought I’ve learned everything that I have had to learn about that. Coming here today. Then when I came here, it just showed me again that, you know, the things that you believe in and the way that you look at the world, and the stigmas that you have about people and your situation, it is so untrue. And that you really need to go and investigate for yourself, until you find an answer that you think is acceptable. And I have just been so pleasantly surprised at how good you all are at something that has taken me like six years to learn how to do it. [Group: laughter].”

*

Ethical inclusion, initiating a positive process, stands in contrast to incarceration’s extreme exclusion and negative outcomes. Intuitively we know that de-humanising cannot ‘reform’ or ‘rehabilitate’ – yet, intuitively we continue to punish. The philosophy student stated: *“We need to question why we do these things”*. Why do we punish, incarcerate, exclude? What is it about ourselves as society that we need to understand to rehabilitate?

5.3.3 Ethical Reasoning in Crisis Management (KEY: Table 4.1 month 14/27 4.)

The transference of Az, caused an ethical dilemma threatening to tear the group apart and cause its end. Analysing the group's response to this real-life stressor serves as means to demonstrate the group's ethical reasoning as a study outcome. **Figures 5.5.a** and **5.5.b** represent the application of the model of ethical reasoning which was developed in the previous chapter (see **Figure 4.3**). The discussion of the application is structured in terms four psychological processes which were identified by Rest (Four Component model, Narvaez & Rest, 1995) as necessary for ethical functioning. Their integration of cognition, emotion and behaviour, provides a useful framework for incorporating the diverse neuropsychological, social and contextual components that have been identified elsewhere and which ethical educators have been advised to use. The four components (ethical sensitivity; ethical judgement; ethical motivation; and ethical action) do not necessarily occur in a specific sequence and tend to interact with each other (Narvaez & Vaydich, 2008; Yoder & Decety, 2018). Each of these components are first introduced, focussing on their neuropsychological correlates, and then discussed in terms of the application of the model.

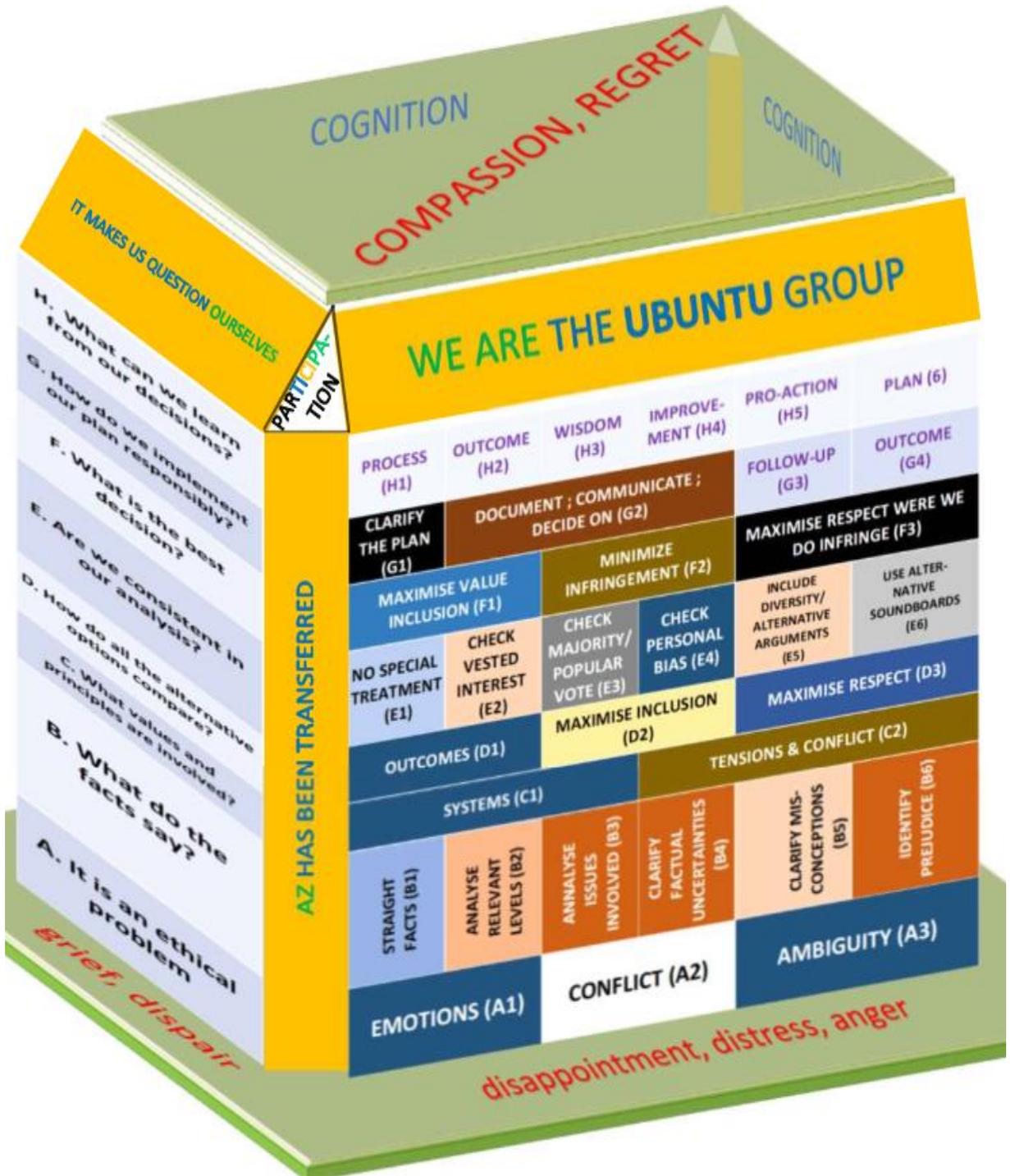
5.3.3.1 Ethical Sensitivity

Ethical sensitivity refers to the cognitive and emotional information processing that involves ethical valuation and distinguishing ethical saliency. It is usually initiated by *empathy* for others in need. Empathy itself is a complex, multi-faceted neural construct which involves shared neural networks including self-awareness, emotional regulation, mental flexibility, perspective taking, affect sharing, and concern for others. Heyes (2018) distinguishes between automatic (emotional) empathy and more controlled (cognitive) empathy. Cognitive empathy is socially learnt and interprets emotional empathy. Apart from empathy, ethical sensitivity also includes recognising ethically relevant contextual clues (*ethical perception*). This enables conceptualising alternative potential actions and their respective consequences (*ethical imagination*) (Decety & Jackson, 2004; Narvaez & Vaydich, 2008; Yoder & Decety, 2018).

Figure 5.5.a best summarises ethical sensitivity on the **GOLDEN social-contextual axis's** integration of **emotion (green)** and **cognition (blue)**: *What has happened to whom?* – highlights the salient ethical issues involved.

Figure 5.5.a

Narrative Visualisation of Ethical Reasoning Model's Application



Temporal key of chronological contributions



Note: see Figure 5.5.b for content of A - H

Az had become a prominent group member and had developed one of the exemplifying leadership roles in the group. His involuntary transfer implicated him in anti-social gang-leadership. The group's crisis appeared to have been elicited by their ethical sensitivity and particularly the emotional aspect thereof. It would also seem to be this emotional component which started and maintained the ethical decision-making process (also see **Figure 5.5.b**). It included grieving Az's loss, despairing about failure, disappointment in the system's (as expressed in the group) prejudices, distress about unmaintained ethical principles and anger about injustice.

Empathy indeed played an important part to offset the process, empathy for Az's powerlessness, his loss of the group, for perceived unfair treatment and him being judged and not supported by group-members.

Ethical perception was demonstrated as the group's reasoning acknowledged the different levels (B2: *Az's personal information, gangsterism, DCS Management, recent cell events, section/unit issues, communication*) and issues (B3: *group's purpose, reasons for transfer, contexts of gangsterism, corruption, disinvolvement of cell-committee, cell-death case study, ongoing medical vulnerability*) that were involved.

Their **ethical imagination** was shifting between thinking about who Az is (B2), about the current context in which the events had occurred (B3, B4, B5), about the project's purpose (C), the group's process of reasoning (B6, D3, F1), the meaning which these different conceptualisations had for the group (A3, C2, E3) and what their options were (D, F).

5.3.3.2 Ethical Judgement

Ethical judgement involves reasoning about moral behaviour and judging moral actions. It has to identify, consider and weigh all the alternative ethical response options. Having been well studied, it has been demonstrated to have a strong emotional underpinning with a disposition for prescriptive social rules, rule internalisation and conflict prediction (Narvaez & Rest, 1995; Narvaez & Vaydich, 2008). Ethical judgement involves different respective brain areas for reasoning in terms of justice versus care (Decety & Cowell, 2015; Robertson et al., 2007), personal versus impersonal dilemmas (Greene et al., 2004; Greene, 2009) and fairness (Beugré, 2009; Knock et al, 2006). However, overall, it appears to maintain the same set of active neural networks, linking both the evolutionary

Figure 5.4.b

Applied Framework of Ethical Decision Making (Cognitive tasks (alphabetical) and steps (numerical), e. g. A1, A2, etc.)

H. What can we learn from our decisions?	PROCESS (H1) Honest communication unveiled issues & built trust.	OUTCOME (H2) Ubuntu PAR group formalized. Az returned. His substance abuse suggestion started.	WISDOM (H3) An inclusion focus assured everyone's dignity.	IMPROVEMENT (H4) Sufficient space reflect on the process.	PRO-ACTION (H5) Sufficient space identifying & providing knowledge & skills.	PLAN (H6) Provision of space for contingency planning.
G. How do we implement our plan responsibly?	CLARIFY THE PLAN (G1) Update the PAR list for drafts	DOCUMENT ; COMMUNICATE ; DECIDE ON (G2) <i>What is happening it is still RESEARCH.</i>		FOLLOW-UP (G3) An external assessment cleared Az's name.	OUTCOME (G4) He worked with staff to start an Ubuntu group in another province.	
F. What is the best decision?	MAXIMIZE VALUE INCLUSION (F1) Communication until there is a unitary understanding & solidarity in the way forward.	MINIMIZE INFRINGEMENT (F2) Remaining humble & open to learning from the situation, accepting our humanity.	MAXIMIZE RESPECT WERE WE DO INFRINGE (F3) Loosing battles to win a war & accepting what we can not change.			
E. Are we consistent in our analysis?	NO SPECIAL TREATMENT (E1) You can't be in the PAR group & anti-social in the cell	CHECK VESTED INTEREST (E2) Who benefited from his draft? What do we lose?	CHECK MAJORITY/POPULAR VOTE (E3) <i>It is easy to paint him red.</i>	INCLUDE DIVERSITY/ALTERNATIVE ARGUMENTS (E5) Critical self-exploration	USE ALTERNATIVE SOUNDBOARDS (E6) Discuss with UM & external assessor	
D. How do all the alternative options compare?	OUTCOMES (D1) Clear his name, reach out, representation to management, defend the group, make contact	MAXIMIZE INCLUSION (D2) Preventing the exclusion of Az		MAXIMIZE RESPECT (D3) This meeting should focus on clarifying & addressing all the issues until everyone is clear.		
C. What values & principles are involved?	SYSTEMS (C1): Ubuntu Principles; DCS Management; The nature of change; Justice		TENSIONS & CONFLICT (C2): Inclusion & integrity; Intention & action; Trust & honesty; Fairness & Accountability			
B. What do the facts say? <i>Each come say your part Let us present it to the group Present information what you get Straight information. Who has information that can help? I will firstly testify what information I have I am a witness of what you are saying I approached him</i>	STRAIGHT FACTS (B1) •Previous high gang rank. •Active in pro-social gang influence. •Accused of drug-dealing when a discharged member gave him his tv.	ANALYSE RELEVANT LEVELS (B2) •Az's background •Az's actions •Gangsterism •DCS Management •Recent cell events •Section/unit issues •Communication	ANNALYSE ISSUES INVOLVED (B3) •Group purpose •Transfer reasons •Gangsterism in context •Ubuntu •Staff corruption •Irregular dissolving of cell-committee •Cell-death case study •Ongoing Medical vulnerability	CLARIFY FACTUAL UNCERTAINTIES (B4) •Drafts started while Unit Manager was away •Inmates know individuals better than DCS staff •By sharing info we help ourselves	CLARIFY MISCONCEPTIONS (B5) •His gang involvement was for Ubuntu •The cell issues had escalated into these results •Officials were misled by the corrupt parties to get Az out of the way	IDENTIFY PREJUDICE (B6) •Don't see Az differently just because he was transferred. •Don't believe gossips & rumours •Don't condemn anyone
A. It is an ethical dilemma: we are experiencing strong emotions, conflicting values & questioning what is principle & questioning what is right.	EMOTIONS (A1) <i>We feel bad because he is a passionate member who sacrificed for PAR. We miss him. We became fond of him. It is heart-breaking that we are not acting like the stewards of Ubuntu. Feeling hopeless that things are wrong, without answers.</i>	CONFLICT (A2) Our group is inclusive, but we actively address gangsterism & drug-dealing. How can a gangster/drug dealer have an active part in this group? PAR membership involves both privilege & responsibility.		AMBIGUITY (A3) Az's behaviour testifies of who he is. DCS Management will not verify information they are given. Gangsterism is a complex issue. We need to consider the wider context in which things are happening.		

older (sub-conscious emotional) and younger (conscious cognitive) parts of the brain (Bzdok et al., 2012; Moll et al., 2005; Decety et al., 2012). Although “reason provides the leach to use empathy wisely” in the context of rationalisation and denial, empathy can have no impact. Ethical judgement enables empathy and reason to complement each other (Decety & Cowell, 2015, p. 12).

In **Figure 5.5.a** ethical judgement is mostly presented by the first four **BLUE cognitive** levels of Hoffman’s (2018) integrated ethical decision-making process (but notice that these circumferences the **GREEN emotional** aspects, demonstrating their interactive links). It also includes the second **GOLDEN contextual axis** which considered the social impact of the events: “*It makes us questioning ourselves*”. The first level summarises the **serious ethical dilemma (A)** which the group was faced with. This also maps the reasoning and judging about the morality of the event, within its social context (see **Figure 5.5.b**):

- Strong emotions were felt (A1): Many were torn between the knowledge they had about Az and the way that they experienced him in the group. Feelings of anger were evoked as well as disappointment. Those who expected the group to function from an Ubuntu approach were distressed by the unfairness and judgement they perceived.
- Conflicting values and principles were evident (A2): On the one hand Az was one of the most passionate members of the group. Not only had he shared his own personal journey of change with them, but he was also actively involved in addressing change in the system itself. On the other hand, the transfers had occurred as punishment for alleged wrongdoing. Az had a history as a high-ranking gang member. This conflict made the group question their very purpose: On the one hand they were inclusive, offering a place where change is allowed to happen, but on the other hand, it was a place which change happened from - and therefore members were very serious about their responsibility in terms of integrity and ethics. Az’s continued contact with other gang members was threatening this. How can you be an Ubuntu group if your members are not ethical? How can you be an Ubuntu group if you don’t have Ubuntu for your own members? What does it mean to be the Ubuntu group?
- Everyone wanted do the ‘right-thing’ but what this was, was not clear at all (A3).

Participating in the reasoning process, the group intuitively worked through the various ethical decision-making levels that had been identified by Hoffmann (2018). Contributions were continuously invited (see **Figure 5.5.b B** *What do the facts say?*) and gradually the knowledge about who Az was, was gathered and the facts about what had led to his transfer were clarified (B). An outline of the historical contexts reminded all of previous sessions' concern about the escalating problems in Az's cell. Causal links were drawn between these events.

The circular way in which this process developed is represented by the temporal key which divided the session's 22 sequential contributions into quarters. The colour on the cube represents the last contribution that referred to a particular step.

This demonstrates that certain ethical decision-making considerations had been resolved relatively early in the process. The conflicting values and principles which created the awareness of the ethical dilemma were identified immediately (A2) but then soon explored on a deeper and more complex level (C2). Analysis consistency (E) was checked for early on by utilising a soundboard (E6), [eventually, a 'soundboard' independent from this process, assessors in another province, had Az returned based on his clean record] and managing the popular/majority perception which found it "*easy to paint him red*" (E3). In terms of reviewing alternative ethical options (D) inclusion was maximised (D2) by recognising, respecting and validating Az's group membership irrespective of his forced departure. In reviewing decision-making (F) the minimising of infringement was prioritised, establishing this within the first half of the contributions (F2).

The ethical dilemma's embedded emotions (A1) and ambiguity (A3), the analysis, the clarifying of the facts (B1-B6) and different values (C1) continued to be revisited and built upon throughout most of the process. Gradually, every step involved in comparing alternative options (D1 & D2) and in checking for analysis consistency (E1, E2, E4 & E5) had been considered.

The events were telling a story about what happens in correctional centers. The group could start making a reasonable judgement of the following:

- That Az's behaviour was inherently motivated by an ethical focus (*he played a pragmatic positive role in the group; he initiated writing up an anonymous cases study of a cell death to address the various ethical issues involved; he was active in preventing gang-fights*).

- That a resisting system had strong motivation to remove Az (*he was addressing sensitive issues in the centre, not hesitating to speak up for Ubuntu-values; he tried to uphold the cell's governance against corrupt officials who were paid off to favour a new cell-member*).
- Az's vulnerability was understood (*the UM had been absent when the cell issues unfolded, Az has confessed his history as a gang-member and did not turn his back on people he knew, other inmates suspected Az of drug dealing when material goods were handed down to him by group-members that were released*).

As individuals shared their contributions, participants had been enabled to collectively and individually activate all the networks of ethical functioning (justice, care, personal, impersonal, fairness). It would seem that 'agreeing to agree' enabled participants to be open to this 'journey' through the respective areas of the brain. In such a space we could share and identify how the garment was not tailored correctly, where it was still 'pulling', where we found it 'difficult to move'. Reasoning was both directed by emotions, as it was regulating the emotions. We did not need to defend or rationalise, but contributed, added and participated in a co-creation towards a more inclusive whole.

5.3.3.3 Ethical Motivation or Focus

Ethical motivation or focus refers to ethical reasoning giving priority not to simply pursuing of a rule or virtue, but to identify and implement the most ethical option, particularly when there are conflicting options. Ethical motivation or focus is influenced by various environmental, social, contextual, temperamental and energy aspects. This complexity has caused it to be less researched than ethical judgement. However, important for the group context is the finding that ethical motivation is stimulated by being exposed to ethical behaviour (Narvaez & Rest, 1995; Narvaez & Vaydic, 2008).

In **Figure 5.5.b the last three blue ethical decision-making tasks** (F-H) cover the ethical motivation/focus component. A dichotomous judgement became less relevant as higher levels of ethical reasoning unfolded. The chosen decision (F) maximised the value of inclusion - remaining focussed on a process, rather than an answer(F1): communication was to be continued until there was a unitary understanding and solidarity in the way forward. The process concluded with a decision maximising respect (F3) and with implementation

plans (G). Although the latter were not formally documented and communicated, these steps (G1-G3) are represented by the expressing and acknowledgement of the process being research. Herewith, everybody was reminded that the experience mattered, it was the making, the writing, the being part of a story. *“What is happening here, is still research.”* Because it was *research* that what had occurred had been captured, will be told and can be listened to.

The comprehensiveness of the ethical reasoning and the extent to which the tasks and steps of this process were covered can in part be attributed to how well the individuals have come to work together as a group. This is represented by the third **GOLDEN social-context axis**: *Why does it matter?* The right thing had to be done because this was the Ubuntu group. As the Ubuntu group, the right thing to do had to be found. This motivation enabled the participants to provide their unique resources which contributed to the ethical decision-making process. It would also appear that the completion of such a process, leading to a satisfying outcome, in turn, enabled ethical action.

5.3.3.4 Ethical Action

Ethical action does not directly stem from ethical judgment, and can even happen independently of it. Ethical action involves a number of complex processes which includes:

- the perception of events and options which are related to the ethical motivated goals;
- psychological aspects such as a strong will, emotional processing and rewards;
- independent neural networks involved in responsibility and intention; as well as
- the required executive functions of initiation, foresight, setting goals, planning, organising, monitoring, selecting, sequencing and inhibiting actions (Han, 2016, Narvaez & Vaydich, 2008).

Ethical action is mostly studied by comparing the neurological differences between ethical novices and experts. Novices show significantly more activation in their conscious executive functioning network. Experts tend to use different parts of their brain as well as the more automatised, sub-conscious networks (Narvaez & Vaydich, 2008). This demonstrates the plasticity of the automatic networks. They are therefore not ‘hardwired’ but shaped by individual experience and socio-cultural learning. Ethical behaviour is therefore learned from practice and, having enough practice, can become habituated (Han, 2014, 2015).

The **ethical action** in **Figure 5.5.a** is represented by the **corner triangle (black)**– demonstrating how **participation** brought the other ethical processes together. The group’s *ethical sensitivity*, created a space where their ethical reasoning could wisely apply their *empathy* to *motivate* them to work through an *ethical decision-making* process. Eventually, they found a point where they could share both compassion for Az and each other, regret about the preceding events and, having learnt from the process, an understanding of a way forward. Within the context of this session, a specific ethical action was not consciously defined. At the end of the session, we had agreed that Fikile and I will track where Az had been sent and visit him. As there was a public holiday coming up, it would have been possible to utilise Az’s presence in another centre as an opportunity to do an intense Ubuntu Ethics course. By the time Az’s clean record had led to him returning, in less than a month, and before we could visit him, the following **actions** had been taken:

- The group had mobilised to be formally recognised by the authorities as the **Ubuntu PAR Group**. An infrastructure was established by selecting an executive committee – its research was seen as ongoing.
- The concerns about substance-abuse in the centre were actively being addressed. After engaging with the corrections staff, a substance abuse training session was organised and the individuals who had asked for help were invited to join both the training and the group. Out-reach to the professional services had led to the Ubuntu PAR Group agreeing to start acting as a bridge between professional services and service users.
- Az had engaged with the staff at the centre where he had been sent. He already had their buy-in in the importance of Ubuntu values and its relevance in corrections. They were planning on creating a space where persons could reflect about Ubuntu-ethics.

Unfortunately, the context did not provide the opportunity for creating a space following this session to analyse its implementation (G) and learning process (H). Had the ethical decision-making model been available to us then (**Figure 5.5.b**), we could well have created the time to consciously reflect back and become more aware of the process. The **purple entries** on the last two levels of the ethical decision-making model have therefore been implied by the outcomes that were subsequently revealed. The group had been sufficiently empowered to recognise and work through a serious ethical dilemma, utilising

their own resources. This experience of honest communication had built trust and confidence in themselves as a group (not just a research project) (H1). As an outcome (H2) the establishment of the Ubuntu PAR Group was initiated and its first project formulated.

Their wisdom was demonstrated by maintaining an inclusive process which assured the dignity of everyone (H3). Although there had not been an opportunity to reflect on improvement (H4), it was clear that there had been benefit in the provision of sufficient space to participate in joint analysis and that providing such space for reflection could have been of immense value. The richness of the process demonstrated how, in a group context, everyone's unique strengths provided sufficient identification, knowledge and skills to effectively complete a holistic process of ethical functioning. There is a strong indication for the need to consciously and deliberately create more such spaces (H5). Ideally, these spaces should include DCS staff, so that effective contingency plans can be created (H6).

Analysing the process with an integrated ethical decision-making model (Hoffmann, 2018) demonstrates how the first seven tasks and all their respective steps were intuitively worked through. This was done as group members were each participating in contributing respective 'stiches' to and 'tailoring of the garment' of ethical conceptualising. An ethical conceptualisation, is what they had 'agreed to agree upon'. There was no pre-determined order or agenda. When the group was confronted with a real-life stressor, a serious ethical dilemma, it responded by automatically participating in an ethical reasoning process which transformed into ethical actions on a systemic level. This process happened intuitively, as of the group process itself – an internalised process.

*

The eight PAR processes and the analysis of two very different events demonstrate Freire's (1982) distinction between 'involvement' and 'participation'. PAR not only involves receptive learning, but actually produces knowledge and action. It demonstrates how PAR provided persons with new ways to relate to each other in order to make ethical reform happen. The dialogism of conscious relating which is at the chore of such participation is eloquently described by Bakhtin:

"I am conscious of myself and become myself only while revealing myself for another, through another, and with the help of another. The most important acts constituting self-consciousness are determined by a relationship toward another

consciousness (toward a thou) ... The very being of man (both external and internal) is the deepest communion. To be means to communicate ... To be means to be for another, and through the other for oneself.” (Bakhtin, 1981 as cited in Dafermos, 2018, p. 3).

5.4 Quantitative Evaluation of a Multi-Disciplinary Model for Rehabilitation.

The transformative paradigm of this study utilised a mixed method approach to best fit the research question of developing and evaluating an integrative model for rehabilitation interventions (Mertens et al., 2009). From this research vantage point, the landscapes of qualitative and quantitative approaches and results can continue Bakhtinian dialogism, an ongoing dialogue to deepen understanding (Diversi & Moreira, 2009). The qualitative approaches outline and described in the previous chapter and subsequent results landscapes had played an important role to shape, inform and finalise an integrative model for rehabilitation interventions and also the manner in which the quantitative assessment had been introduced and performed. This quantitative section allows a more specific focus to report on the quantitative results following the model’s application. It concludes discussing the findings in terms of the themes that are relevant to the model.

5.4.1 Descriptive Statistics of the Self-Rating Questionnaires

5.4.1.1 *EFI*

According to Spinella (2005a) the EFI demonstrates good internal consistency with a Chronbach’s alpha coefficient of .82 for the total score. The Cronbach alpha coefficients for the subscales, ranging from .69 to .76, were reported to be acceptable. In the current study, the Cronbach alpha coefficient ranged from .31 to .63 which is not satisfactory. The total item reliability yielded a Cronbach alpha of 0.69 which could be seen as adequate, making further analysis acceptable – though with cautious interpretation (Taber, 2018; Ursachi et al., 2015).

Given the relatively high means for all the EFI scaled scores, **Appendix 5.5** presents the EFI results in comparison to a number of other studies. Gender differences are known to impact answers to executive functioning questionnaires (Basson, 2015); therefore, reference is particularly made to the data of male respondents. Where this is not available, the table indicates when the data includes both male and female participants.

All the current study's mean scores are higher than the South African student population, and the original validation study. Although other studies' means show some comparability, the current study measures higher on all but the ORG sub-scale.

Spinella (2005a, 2005b) demonstrated that higher EFI scores are associated with higher age and education scores. This study's mean age of 42 years being nearly double that of previous studies, may account for these higher scores. Incarcerated populations are expected to have lower executive functioning (see section 2.2.2); therefore, the following two issues need to be considered:

- a) With 82% of the pre-assessment group participants (PreG) having sentences of more than 10 years and a mean of at least 8 years of incarceration, it can be postulated that this group's criminal conduct had occurred when they were considerably younger and that their executive functioning could have since matured.
- b) The PreG group has a higher education level than would be expected from an incarcerated population and have important leadership roles within the correctional centre. They can therefore be expected to be functioning substantially higher than the average inmate.

The relatively high EFI scores remain surprising considering that 26% of the PreG reported experiencing a head injury and 11% loss of consciousness. The unsatisfactory Cronbach's alpha coefficients points to further interrogation of reliability of the EFI in this study. Basson (2015) has also questioned the reliability of the subscales scores in a South African population and ascribed this to the subscales being derived from a low number of items. In their study Janssen et al. (2009) highlighted the role which cross-cultural differences and generational variance may have on how participants interpret the items. An investigation by Ferraro et al. (2018)'s found that EFI was not sensitive enough for applied neuropsychology in some non-clinical samples. Thus, several authors reason that the EFI's psychometric properties are preliminary in nature and warrants further analysis and development (Janssen et al., 2009; King, 2018, Miley & Spinella, 2006).

5.4.1.2 BQ

Edwards et al. (2014) demonstrated that their South African sample yielded a satisfactory total item reliability for the BQ with a Chronbach's alpha coefficient of 0.89. The

reliability coefficients of the respective sub-scales ranged between .61 and .81. This was weaker in the current study where the reliability coefficients ranged between .44 to .795. The high Cronbach's alpha level of .83 for the full scale enabled further statistical analysis.

The means of the current study were comparable but higher than the those of the two South African studies on all the sub-scales, apart from the AWM (see **Appendix 5.6**).

5.4.1.3 CCS

According to Tangney et al. (2012) the CCS had a reliable internal consistency, with a Chronbach's alpha coefficient reported of .81 for the total score. The current study's internal consistency of the 5 dimensions were lower, but still considered to be reasonably reliable, ranging between .51 and .75. The total item reliability analysis of the current study produced a satisfactory Chronbach's alpha coefficient of .75. The variability in consistency were similar for three of the five dimensions (ranging between .53 and .62). Two dimensions, FaR and NegA, yielded questionable reliability with Chronbach alpha coefficients of .13 and .44 respectively. The satisfactory reliability of the total score made it possible to consider the CCS for further statistical analysis.

Appendix 5.7 summarises the TotG descriptive statistics results in comparison with previous studies. Although the mean scores seem comparable, the group who participated in this study generally scored lower on criminal cognitions than other incarcerated populations have done. As mentioned before, this could well be a reflection of the cell leadership sub-group and the nature of people who are interested to participate in a project of this kind.

It should be noted that the average means were lower on the EFI and BQ and higher on the CSS for the group who reported experiencing head-injuries and being unconscious (slightly more so for the latter). This however did not reach statistical significance.

5.4.2 Changes in Pre- and Post-Measurements

5.4.2.1 Executive Functioning Performance Tasks

The statistical analysis results about changes in DKEFS performances are summarised in **Appendix 5.8**. A Wilcoxon Signed Rank Test revealed a statistically significant increase in the executive functioning (group) performance tasks following participation in the project:

- a) Semantic fluency (DKEFS Category Switching Accuracy): $z = -.737, p \leq 0.05$ with a small effect size ($r = .14$). The mean scores on the Category Switching Accuracy increased from pre-project ($M = 4, SD = 2.952; Md = 4$) to post-project ($M = 4.80, SD = 3.55; Md = 4$).
- b) Design fluency (DKEFS Design Fluency Composite Scaled Score): $z = -2.506, p \leq 0.05$ with a medium to large effect size ($r = .43$). The mean and median scores on the Composite Scaled Score increased from pre-project ($M = 6.18, SD = 2.04; Md = 5$) to post-project ($M = 8, SD = 2.76; Md = 8$).

Improved scores on semantic and design fluency tasks can be associated with improved executive functioning, more specifically, improved ability to generate ideas and to shift or switch between tasks. This result should however be interpreted with caution, given the group context in which the study was administered.

5.4.2.2 Executive Functioning Self-Rating Scales

Appendix 5.9 summarises the statistical analysis of all the self-rating questionnaires. The Wilcoxon Signed Rank Test revealed no statistically significant changes in the self-assessment of executive functioning as measured by the EFI. The high scores of the PreG (see Appendix 5.3) should be noted though. The slight changes that did occur do not seem to show trends in any direction.

A statistically significant improvement of mental skills (BQ) in relaxation ability (RA) was revealed, $z = -3.22, p < .001$, with a large effect size ($r = .54$). The median score on RA increased from pre-assessment ($Md = 18$) to post-assessment ($Md = 20$) (see Appendix 5.7).

5.4.2.3 Criminogenic Cognitions Scale

The Wilcoxon Signed Rank Test revealed no statistically significant changes in criminogenic thinking statistics following participation in the project (see Appendix 5.7). The all-round scores of the five main CCS dimensions decreased, apart from the sixth *Rep* sub-scale. For this scale the median had however remained the same (see Appendix 5.9).

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The results are cautiously interpreted as the reliability of the questionnaires are relatively low. Debowska et al. (2017) highlights how questions pertaining to the self are

sensitive to contextual factors and that the reliability and validity of tools become questionable when used in forensic contexts. In the abnormal environment of a correctional centre, community culture tends to be amplified and unique rules are called for to survive the pains of incarceration. Thus, self-evaluations conducted by incarcerated persons in relation to other inmates require standardisation for those particular contexts. Furthermore, as different languages and cultures have demonstrated different interpretations of the items (Edwards et al, 2017; Kruger et al., 2015) more research is required in the South African context to develop alternative language versions for different scales.

5.4.3 Conclusion and Discussion

The following can be concluded from the quantitative pre-and post measurements:

- a) The group's performance on tasks measuring executive functioning suggested that abilities involved in initiation (generating ideas / fluency) and flexibility (shifting / switching / impulse and perseveration control) had improved.
- b) The group reported significant improvement in their ability to relax.
- c) Self-assessment tools need to be standardised on populations that are incarcerated.

As significant stimulation and practice facilitate neural changes, so also do significant periods of stress change our brains (Askenasy & Lehmann, 2012). Given the long periods during which the participants had been exposed to the stress of incarceration and the build-up of tension in the current environment, the fact that they could report a substantial increase in their ability to relax is of significance. It is likely to be related to the **mindfulness practice** which we tended to start our meetings with. I was self-conscious of my control of the group during these times, and therefore did not do it with every meeting as the groups never asked for it. Sometimes, when I noticed that persons seemed agitated by the struggle to get there or other systemic matters, I utilised it deliberately. Upon my enquiry relatively early in Phase III, the group fed back that mindfulness was of much use to them. I therefore continued to offer doing these exercises. In the fieldnotes it was reflected that participants seemed comfortable and fully engaged with the process. Over time I adjusted the intervention to go beyond focussing on the breath, the senses and the correctional centre walls to also include the past – positive sounds from childhood and memories of loved ones. We were mindful of our ancestors as well as future generations. We also focussed on the

communal sense of being in terms of a group, section, centre, city, province, county, continent and humanity. In this way the mindfulness exercises tended to involve the whole brain.

There is a possible link between the results indicating changes in the ability to relax as well as in executive functioning. Mindfulness has been demonstrated to be involved in neuroplasticity and to improve executive functioning and self-control (Mak et al., 2018; Tang et al., 2015; Yi-Yuan et al., 2015). Moffitt and colleagues defined self-control as a family of processes which include gratification delay, attention and impulse control, will power and executive function. They have demonstrated the significant link between self-control and criminal offending (Moffitt, 2003; Moffitt et al., 2013). Their suggestion that early interventions that enhance self-control might reduce its societal costs indicates the importance of this finding. In a recent study, Leyland et al. (2019) concluded that mindfulness' impact on the attention system improved the regulation of negative emotions. This allowed individuals to have more effective access to their executive functioning. The skills associated with mindfulness are particularly important in the attentionally demanding contexts of the social and interpersonal world. Mindfulness, as a skill that can be taught and learned by training, has been used in correctional settings (Cozolino, 2013; Simpson, et al., 2018). The results of this study resonate with the findings from Auty et al.'s (2017) review of mindfulness meditation research in correctional centres. They report that programmes with longer duration and less intensity were more effective and had a larger positive impact on behavioural changes (see section 6.1.2 Discussion).

Executive functioning is closely associated with the brain's plasticity and therefore benefits from practice (Wykes & Reeder, 2005). The improved scores on the tasks measuring executive functioning may well be attributed to the executive functioning practice which the study tried to maintain (see section 4.3.1 & Appendix 5.2). However, given the close relationship between executive functioning and ethical reasoning, the study's developing ethical focus may also be related to this finding (Narvaez & Vaydich, 2008). The results suggest that participatory action research, utilising both ethical reasoning and executive functions, may assist to develop the neuropsychological abilities which supports successful functioning in society.

5.5 The Things That Mattered

Liebling et al. (2011) refer to how often research reports “reflect what is measurable rather than what matters the most” and argue for the focus to be shifted to what is “important to measure” (p. 358). The participants’ regular reference to us doing research, served as a reminder that the group was consciously contributing to knowledge. Although this enquiry didn’t directly ask *what mattered* in a correctional centre, the strong presence of the following themes from the transcribed recordings provides a reflection of their significance to inmates. This section tries to focus on the participants’ intension of saying what they wanted the community to hear, had they been able to speak from these pages. These themes are reported here as they had been shaped by the TA and the study’s objectives. Member checking approved their relevance by confirming them, adding descriptions and further clarifications.

5.5.1 Participation Matters

Rice (2016) highlights that studies of carceral institutions should consider the active role which incarcerated people play in the shaping of the space they inhabit and how conflicts in such agency can cause ongoing tension. This assists in developing an understanding of the complexities of these spaces. The PAR group was a place where we validated and encouraged each other. A motivating “*Are we giving up?*” was given as a response to participants sharing how difficult the frustrations about access to participating sometimes was. Although the questions were never asked directly, TA revealed numerous examples of answers to the following questions:

- *How do people participate positively in their incarceration?*
- *What helps positive participation?*
- *What hinders positive participation?*

5.5.1.1 How Do People Participate Positively in Their Incarceration?

The ways in which incarcerated persons positively engage to make a correctional centre functional has been well documented by Liebling and Arnold (2004) in *Prisons and their moral performance: A study of values, quality, and prison life*. This is further illustrated by the following examples from the current study:

- a) **Thinking systemically:** Inmates often took a systemic view of their environment and pitched their interventions at a systemic level. The following quote refers to the concern of substance abuse:

*“I am speaking from a point of view of yesterday's meeting that I had to attend with a certain structure here in prison. The feeling was there are some inmates that had enough of this abuse of drugs. And we kept on discussing this and the final answer was, let us stop going to a member, let us stop, just depending on their perception manage, lets address this, and as I am speaking, plans are being made to go to the HOP and say, 'this is it', because it is getting out of hand. So, what I am saying is, we need to take in consideration, this thing is so big, it is about to blow everybody apart here in this prison. Yesterday, we said let's make it a point tomorrow, all these other members should come together and sit and discuss this thing, so that we can get to a point with this problem. So, I am saying, yes there is these youngsters or whoever, elderly guys like myself, I had to stop one elderly father from even trying to see his people, because he had, he couldn't even see his people^{see*below} ...so if we go, I agree with what you say, but you must remember, you are talking of hundreds. Let's say, for argument sake, a whole hundreds of them decide, 'let's go'. So, let's look at all the angles and see what is the best what is going to help in this. At the same time there is heavy discussions going on.”*

In another discussion the group were deliberating about a complainant who was removed from the prison before he could expose alleged corruption. His assertive manner made insecure persons panic about signing a petition. One of the elders had advised his cell mates no to be part of it, because *“it is going to explode”*:

“I would say you need to be transparent and you need to be mindful of what you are promoting. Because what has happened was that this guy was transparent about his data, but he was not mindful of the sensitivity of what he is talking.”

They participated by questioning the correctional system's effectiveness in reaching its own goals. Destructive behaviours were maintained by the overwhelming negativity of the environment in relation to the dire positive options that persons have access to:

“because most people spend their time on things that are unproductive. If you check in your cell, the movies that people are interested in, the news that people read, like so much, things that are trending on social media, and listen to their comments immediately after consuming that particular, whatever it is, you will realise that there are so many sources of influence when it is that the only positive influence is so limited in their lives. That is the reason why we go the church, but the immediately, when we come back from church, we sit down, we watch Uzalo we watch Generations, and there are certain things that are influencing us from those things that we watch. Movies, soapies whatever it is. I believe that we are influenced negatively more than positively in our lives. So now, it is easy to tell someone that this is not good, what do you think is not right? But now, ask yourself that, this person, who does he spend his time with? He does not spend time with you. He only sees you and maybe once in a while. So, he gets influenced from those that he keeps close courted with, more than you, because you only

come whenever you hear them talking. So, at the end of the day, I have got a feeling that, if there can be more positive things, that people are exposed to, then it could be better.”

There was often reference to the scanning of the environment, as if to be taking its pulse all the time. This could refer to either the cell or the centre. It often seemed to be related to threats and tension and aimed at survival:

“And I think it was very important to size up the atmosphere that is reigning in that cell. In my heart of hearts there were things that I wanted to make, to uncover, but I could not. We sit, we sit, and I watch the audience. If they switch off, that mighty man can say what he wants, the inmates decided you are talking a bunch of crap. So, these are the things that are reigning here in this place, and we must not misinterpret the environment. It can over-spill into becoming very very...”

This scanning was also applied to manage the diversity and complexity of their environments, *“so we also check the psychological security within our fellow inmates.”* to make interventions more effective.

b) Sharing expertise:

“So now, here in (Name of Management Area) there are artists, painters, cabinet makers and electricians. Each has offices in one of the sections.”

c) Engaging with DCS staff: Advice was offered on the day-to-day running of the correctional centre such as the placing of inmates:

“We went and asked, 'okay we are not saying don't put anybody into our cell, but these guys come from Lion section, they were sleeping in one cell, they are chased away because of steeling. Even this section, you are putting them into the same cell. Why don't you separate them? Give us one, take the other one to another cell?’”

Inmates took the initiative to manage understaffed conditions:

“And then we shouted at the members, and the members said, that 'listen, we are understaffed, we were here round about past nine and we are on the other side.' So, what we ended up doing was one of the guys in the cell called someone in the single cells to tell them if there are any members, let them know that there are something happening, there is a banging that is taking place somewhere. Guys at Rhino section they heard the banging. They also heard the banging. They also complained to say 'we heard a loud banging that went on and where was the staff’”

d) Looking out for the vulnerable: Assistance was provided for the chronically ill to get their medication, to protect persons' dignity (see* above) and to look out for the safety of those who could not fend for themselves:

“concern, a gentleman my age, I saw him at the visit, and I could see, he is bewildered. He doesn't know whether he is coming or going. Because there was a...so I managed to get over to him and I asked him, I introduced myself and I asked him how long is he here. Only three days. And his family has now brought him a whole lot of stuff, for the cold. I could see, a nice warm jacket and so on. So, he is walking, walking bewildered. And I could see these youngsters, they have already caught up with him. So, on our way, back to the section, he was in another section as I am in Rhino. I thought, let me try and escort him, to Leopard section. At least, I know someone in that section that is very honourable, and I will ask him, 'please just look after this gentleman'. And I got to the gate, now my heart was really, my heart was bleeding for this man. And I got to the gate, I asked the member, please, could you just allow me to come in with this gentleman. As you can see he is new..”

Sometimes, this involved serious life/death scenarios as in the case of managing epilepsy:

“...So, the guy was biting himself, so literally, if other people could not know what to do, because there were only myself, that I got to understand that, I knew to turn him...the amount of blood he was actually goggling with. And ya...”

e) **Interpersonal interaction:** People supported each other on a one-to-one level:

“But, I have the liberty to go to someone, to talk to him on a one on one and I can sense within me, he appreciates what I am saying.”

They acknowledged and utilised one another's strengths to encourage participation:

“You know what, you are someone, you have the ability to motivate people. So, I am asking you, take the challenge, go stand at the door, because inmates were looking, and if they see (the stars), I said, 'go to the door, shake someone's hand and invite them in.' In no time we had that whole place full.”

And critical feedback was also given to manage fairness within the limited environment:

“But the guy that is supposed to arrange this whole thing, I took my time to go to him, I said, Sir, you were the guy that ...us, and I do not think it is a good example that you set.”

f) **Being part of meaningful group activities:** Occasional reference was made to the other groups individuals were part of which provided meaning and structure to their daily lives. This mostly included doing education, belonging to a church, participating in sport or other special groups organised by inmates. In this regard the PAR group was used to share stories of pains (e.g., loss of family members, illness, pains of imprisonment) and stories of triumphs (e.g., hearing that a lifer who had been released to the Eastern Cape's family had slaughtered two cows for him, getting a reduced sentence, making an impact with Ubuntu), providing each other with some assistance

and support. The space was used to analyse and make sense of systemic issues, incidents and problems and a platform to take agency from, thinking and implementing solutions.

5.5.1.2 What Helps Participation?

Officials who participate: Crewe et al. (2014) highlight how important the presence of officials is for inmates to have a meaningful experience of incarceration. This presence refers to “the availability and visibility of prison staff, the depth and quality of their engagement with prisoners, their willingness and ability to supervise and police prisoner activity, and their competence in using authority” (p.14). Similarly, the most essential aspect to assist meaningful participation in incarceration was emphasised in this study as the participation of DCS officials:

“I believe PAR group can function, as long as we have, even if it is a junior staff. As long as we have someone who will open the gates for us, who will make sure that, you know, whatever problems we have, we aim to make sure we are doing them.”

The officials made a significant difference to allow positive activities to occur and develop even if it just stemmed from their facilitative management in the background:

“Where we ended up having the group, the members were helpful in attending to the gate as people came from their different sections at different times, they gave the group access to their toilet to use. They noticed that we had used the snooker table for our coffee mugs and respectfully made us aware that they found wet stains on it which the groups immediately started managing (fieldnotes).”

Good communication between officials and offenders was deemed as important and best practice was seen as having scheduled meetings with unit officials and working collaboratively with a case manager, “to solve daily problems with welfare”. Participation of officials involved explaining their reality and apologising for their limited capacity: “And we did give them a piece of our mind, but the guy who was...he did apologise to say ‘Guys, I was on the other side of the prison’.”

It assisted if the officials were seen to “govern as a team”, to addressing victimisation by staff and assisted each other to treat offenders fairly: “‘Now I’m asking you, as an inmate that doesn’t have resources. What can you do?’ You know what, he said to me? ‘Mr S, I am going to call him in and I am going to call him to order.’ Which he did.” By officials

actively participating with offenders in the management of their incarceration, their participation in rehabilitation was reinforced *“to be recognised in our work we do”*.

Strong and engaged management was also seen as an important enabler for positive participation. The UMs were relied upon to solve problems in a just way. They sometimes had to manage complex situations with both offenders and officials breaking system rules. Good management was seen to occur when there was immediate engagement with the inmates, ‘listening to’ and ‘legitimising’ their participation: *“So, things like that do not happen when (the UM) is back. It is working.* Effective centre and unit management provided the necessary structure to spend time in meaningful ways which in turn was seen to **control gangsterism**:

And in this centre, there are a whole lot of guys who are in gangsterism but do not practise gangsterism. [Group: Yes, exactly]. For the sake of the saving of us. Remember there is gangster members, already we have different things, ne ... That is the good thing about this centre. You find centres where, if you are in gangsterism, you have no chance but to be a part of... But with this Centre, it has got a whole lot of things to kill time, or to do something else.”

5.5.1.3 What Hinders Positive Participation?

In their systemic thinking, participants tried to be fair about DCS officials and showed compassion for their roles in the incarceration context, e.g., they acknowledged nursing staff’s difficulties in an overcrowded centre where they were also understaffed. It was however aspects of how this role played out in the incarceration environment, which was seen as the main obstacle to positive participation. During the Phase IV a deliberate attempt was made to raise these issues with respect: *“We are not here to challenge the authorities”*.

- a) Officials not perceiving participation as a valued part of their role:** A need was recognised that officials required ongoing psychological training: *“Young boys are trained as wardens, not officials.”* It was difficult to imagine how the group’s positive activities could be sustained without the specific support from officials:

“The challenges with the PAR group, the biggest one for me is to get one official who is really interested. Because, they all say yes, but when you knock on their doors, they will tell you we are busy, ya, which it becomes a standard problem for us, because we need someone to help us to function. Because without an official in this place, things become difficult. It is not that we cannot do things on our own.”

- b) Understaffing:** The understaffing in the units was viewed as the officials' most significant problem. It even hampered those who were willing to help.

“But, since there are roads and relations, there are things that will always cut us, you know, even if we want to function. So that is the challenge that we have. As much as Mam (Senior Social Worker), I have spoken to her, she is willing, but at the end she is too busy. that is the biggest problem I have.”

- c) Difficulties with mobility:** Correctional centre buildings are designed to constrain people, not to rehabilitate. Their lack of physical and systemic infra-structure makes mobility an inherent obstacle, always at risk of exploitation and corruption, e.g., participants shared frustration that their reporting of gate guards who expected payment for giving access to mobility appeared to be ignored. Getting access to participate in positive activities was thus a chronic problem:

“There is quite a few times that one finds you are faced with challenges coming out of the sections. I've experienced week before last, the officer there that was at the gate he would let me go at any time. But I promised you he convinced me that there is instructions from HOP no movement. And he even apologised to me, he said: 'Mr X I know you must go'. And I believed him, only to find out later, that, people are going in an out.”

- d) Resistance from officials:** Participants reported feeling victimised for showing positive values. Some officials resisted change, found it threatening and tended to label pro-social behaviour as something negative: *“And I was told by a member, I was called in the office, 'you must not think that you are the answer in this section. We know much more than what you know.' So, I had to, you know, retreat.”* One of the elders escorted a new vulnerable looking inmate from the visiting section as he expected that he was going to be robbed of the warm gear his family had brought him: *“At least, I know someone in that section that is very honourable, and I will ask him, 'please just look after this gentleman.’”* He did not get further than the section gate. An official intervened and reprimanded him for acting like a “guest-cop” (official). The man was subsequently robbed of everything.

It would appear that some officials were suspicious of persons coming together: *“ So when we try to get someone to help us, just to bring us together - then they leave us, then at least they see us being a group and then there is someone, they don't get worried. But if you meet alone, they start getting worried - they think otherwise.”*

Member checking cast a different light on the nature of the resistance. It revealed that some staff resented offenders being educated, perceiving them as getting access to a

better future than they had. These staff focussed their obstruction on pro-social activities.

- e) **Corruption:** Corruption occurred on various levels (catering industry and maintaining lucrative businesses smuggling illegal substances and mobile phones), but it was most evident in its exploitation of the vulnerability stemming from persons' incarceration:

“There are inmates who do have money. Like for instance, even if I want to come out of my section just to come here, I would stand at the gate. But someone who gives money to these members, they will just open for him. He would go out, come back, go out. But for me, they would give me problems, just to take me out. Even if you go and report a matter to people in authority within this environment, instead of looking at it openly, they will look at it to say, 'what do I get from this one?'”

- f) **Lack of good governance:** Persons' ability to manage their participation positively was severely limited when units showed ambiguity, *laissez-faire leadership* and poor discipline: *“the members, they are operating the way they want. If it is A or B, they are operating the way they want. Not according to the policy”*; *“Lion section, beliefs in beating people, sometimes, if need be. Buffalo-section believes in putting people...if need be. So, now you see, they are working in different principles.”* This was most evident when there was a 'change in command' between shifts that had different cultures in this regard as had also been reported by Liebling et al. (2010). The contextual events which caused the transference of Az demonstrated an extreme example of this.

- g) **Lack of thorough (fair) investigation:** Generally, persons' vulnerability in the system prevented them from getting involved in reporting or addressing issues that were obviously wrong (also see section 5.5.1 *Health*). As had also been played out through the events around Az's transference, many examples were shared of how easily persons could be victimised:

“And the worst for me is, even the management system, the way it works you know. It works very stupidly, because they are gathering the information of lies. [Ch: Yes, here-say]. Ya, here-say. If I don't like X, I go and lie, and we act on those lies.”

- h) **The environment:** The inherent negative context of an incarceration environment is contra-indicative to personal growth and rehabilitation (see above). This is well captured by what an elderly person reported to a judge (see section 5.3.1. Level 2. 6 for the full quote): *“I've got to stand and watch young boys spiking themselves in the*

open with drugs, I've got to see young boys being sodomised, I've got to live in crowded cells that is inhuman."

- i) **Transfers:** The impact of transfers has been referred to previously (e.g., see section 4.2.1.2.c). Participants explained that when transfers were happening on a daily basis, other activities ceased. At times it was so unsettling "*causing a lot of shaking*" that it was even suggested for the study to be terminated until the transfers were completed.

Seeding point: Appreciative enquiry about the section running well.

When certain managers were working, the units ran smoothly. Both staff and inmates could be involved in identifying those strategies which assisted the section to run well.

Seeding point: Becoming part of solutions together.

"My own impression is that both at times are very disempowered, officials and offenders alike. Officials also feel very limited in terms of the resources they have access to in order to address the basic issues. PAR could empower both in the process (if not physical reality) to become part of the solutions together"
(Fieldnotes).

5.5.2 Vulnerability Matters

Vulnerability as a concept had not only shaped the study's methodology but had also facilitated how it developed around an ethics framework. Apart from where participants' vulnerability is directly implied in the issues reported above (e.g., 5.4.2. What Hinders Positive Participation), the central role of vulnerability in this study calls for highlighting the issues which the participants were most concerned about:

5.5.2.1 Health

Incarceration went along with great concern about physical health (also see 4.3.4.d */// Health*). A significant number of the persons who participated in the Phase IV had been traumatised by experiencing death in their cells. It was especially disconcerting to the participants where the health problems of the deceased had not been taken seriously by the nursing staff. The group worked with their sense of helplessness by educating each other on how better to use the complaints procedures.

They remained vulnerable in an inherently oppressive system:

“Much as it is good to follow procedures. Fortunately, I have followed one, somebody died at (another correctional centre) there was a case, we wrote to them, and then there was an investigation. The people at (correctional centre) changed their story. We were charged, that we lied. Whereby people were scared to testify because the management was there now. So, I'm not saying don't follow that route, but I won't be part of that. I was once charged, for following the right process.”

One particularly traumatic event occurred during the course of the study, involving the death of a new cell member who did not get access to his medication. As the system's failure continued with the management of the family, the group decided to use this to capture the complex issues involved in an anonymous case study. It was written and typed up with great care. The plans to analyse and address these questions was halted by the transference issues discussed above. It may eventually have proven to be too sensitive to work with as it was never developed further: *“We are still stuck, and people are still dying.”* In general, participants felt that more extensive hospital cells needed to be allocated and that a qualitative overhaul of the medical conditions were required. They had particular difficulty with the nursing staff of whom, given their training, they expected more. Recognising that not all nurses were uncaring and unprofessional, the obstruction to vulnerable people getting sufficient care, was attributed to some individual mentalities.

5.5.2.2 Newly Incarcerated Persons

The vulnerability of newly incarcerated persons was often raised as a matter of significant concern (also see 5.2.1.3). These persons were targeted by gangs and people who were desperate to get access to resources: *“As you can see, he is new, and I could see - the guys who I saw when I came in, they robbed him.”*

5.5.2.3 Substance Abuse

Substance abuse raised significant concern from the onset of the study. It involved being worried about the participants' children in the community and the future:

“When we die, these are the people who are supposed to carry on after us. You don't see men like us doing that, you see the youngsters, those who are the leaders of tomorrow. Instead of being rehabilitated in prison, they are being killed more.” Refers to people injecting each other's blood into themselves to get high which is happening a lot. Refers to the concern of drug addiction and that there is no programme to address this in the centre.” (fieldnotes)

There was a general feeling that it had taken on serious proportions: “*..they are failing us here in. I don't know what you are going the in Leopard, but I know it is terrible in Buffalo and Elephant.*” According to the participants: “*It is easier to bring drugs in, than any other thing.*” The vulnerabilities which it involved touched on many of the issues reported above. It included incarcerated persons being exposed to substance abuse, those who are addicted being exploited, as well as addicted persons victimising others. The unbearable conditions that this created for everybody to live in resulted in forceful action in which substance abusers could expect little protection. One participant related intervening when a group was assaulting him in the section by asking if they wanted to kill him. When he encouraged the victim to report it to the officials “*they didn't want anything to do with him. Nobody saw it as a bad thing that he was assaulted. 'It is not a crime there'.*” He explains that in the same way, taking drugs are not seen as a crime in the other sections. It maintained corruption and anti-social practices. Some of the complexities involved are captured by the following quote:

“No I I think as much as my brother put it, so to say, there are certain cells that are standing together. That is not the norm with all the cells that we have within this centre. And at the same time, the guys who are selling drugs, they don't want to come out and say I am selling drugs. Now if we just go and say, ‘this one is selling’, then we just call him here, ...he will ask us, who told you that I am selling drugs? Then at the end of the day, we will be caught in the middle. [Continues describing the issue referring to being victims and to the individuals and officials benefiting from sales which makes it a difficult to address. Refers to inmate groups who, when they identify a dealer, talk to management to assist with moving him away from the centre.] But when one is transferred, others see an opportunity and fill the gap.”

Various viewpoints emerged: “*The root problem is not those boys, it is the sellers. Because, if you don't have the sellers those boys won't smoke.*” The group confronted each other with the fact that behind the dealers there will most probably be an official, which situation they would be powerless to address. (My own enquiries into the broken relationship with a service provider, revealed that potential interruption of a lucrative drug smuggling business was actively jeopardised by corrupt officials.) It was agreed that the negative environment maintained the problem, people had little positive alternatives. The participants decided that they had to focus on where and how they can make a difference. Most importantly “*we need to deal with the mindsets and change people's thinking, their way of doing things*”. One individual explained that he had identified who was using drugs, assessed whether they wanted to change, found out what they needed to change, assisted with access to the psychologist and social work services and invited them to the group.

Seeding point: Getting Substance Abuse on the Map

“When these laws are being taken seriously, when we are able to inspire the members and other inmates to take certain things seriously in order to improve their lifestyles in this place, now that will be the Ubuntu think that work”

Seeding point: Addressing sensitive vulnerabilities with independent procedures

“Too often important concerns are blocked very early on in the process. Can stable and consistent structures between offenders and their management be developed allowing for the reciprocal flow of communication and problem-solving involving the management hierarchy?”

5.5.2.4 Coercion by officials who misuse their positions of power

The group made regular reference to the need for ethics and particularly Ubuntu ethics training for officials. Bartone (2010) confirms that in closed institutional systems, ongoing intervention is required to address the ease with which power can be abused. Persons were targeted for many reasons: *“He said to me ‘X, we know you have got money’ but when he ultimately left, guys said to me, ‘from now on, you are his target’. He is going to come every morning for sugar, peanut-butter, oranges and apples.”* As had been reported by Liebling and Arnold (2004), participants were sensitive to the misuse of power. Various examples of how coercion prevents positive participation had been mentioned in section 5.5.1.3. At times it involved not only using illegitimate force but also instructing inmates to do so: *“So, I don’t know if it is working backwards - because the captain agreed that, it is fine if you guys are going to clean the section yourself and the way the CMs agreed, that they will do the cleaning up - is through corporal punishment. They are going to sort them out and discipline them, physically.”*

5.5.3 Research Matters

This study demonstrates how the PAR process utilises the Bakhtinian ‘double-voiced’ concept (Hynes, 2014). How participants, being consciously and deliberately involved in knowledge creation, talk with each other matters, but equally important is how the talk to the virtual audience should be heard. PAR has the ability to immediately include society (starting indirectly in the psychological experience of the individual).

There seemed to be three aspects to how the 'research story' of the study was referred to:

The first is about the perception of mistrust in researchers from the outside (see section 5.3.1 Level 2 Experiencing the Community). Based on their previous experiences of investigators being misinformed some scepticism was expressed:

"Whereby, they need to be, you know, philosophers need to be extra careful, because, most of the time, they are missing into those who are right about Ubuntu. That is why, at some take, when we read that papers, we realise, no, this person is lost. This people, he (believed/read?) what he was told, he thought it was the right thing, because it was being said by this person, who he thinks he knows Ubuntu, who understands Ubuntu."

Having read academics work participants had first-hand experience that what research reported *"doesn't go hand to hand to what is happening in front of me"*.

The second aspect of the research story was about the participants owning the study. This is reflected in the way the chairperson welcomed the visiting philosophers:

"We are a group called PAR. Started by Ms Prinsloo here. We started this group doing research. She didn't know what to expect, we also didn't know what to expect, but we are so happy that we found somebody like Ms Prinsloo. Because we can now understand and see where we want to be. We have learned a lot. She has also learned a lot from us. Hoping the same will apply from our visitors today. Most of us do not even know what a philosopher does. Most of us, do not know what philosophy means. We hope to learn from you. And we understand that you do some research. As people are known, we will get to know what kind of research you are doing. What is the outcome of this research?"

Research had become an activity that was relevant and part of everyday language. *"And I don't think it is wise for us to stick on like one topic, because as I understand, there is different research. Like you have your research, everyone have their own, so, I would want to hear what research do you work with (and) what research do you work with? Epistemology / to know / truth, was something which had been thought about before (see excerpt below*)*. It had become more than what was usually defined from a classical research perspective, belonging to *academics*. The very process of reciprocal learning *"We have learned a lot. She has also learned a lot from us"* had been owned to *"understand and see where we want to be"*. In the same session a participant (having recently read about a prison research project by philosophers) extended his invitation: *"Yes, I wouldn't mind reading of the research that has been done in the books that has been written by the Prof."*

The following activities that addressed the vulnerability of the research participants in combination with the PAR process enabled the above.

1. The process of introducing the research gradually (see 4.2.2 Introductory Meetings with CMs), explaining who I was, what I was hoping to do, what their role would be and what I also did not know. The latter proved to be very important because this was referred to (nearly a year later) during the introduction: *“She didn’t know what to expect, we also didn’t know what to expect.”*
2. The workshop on assessment and ethics (see section 4.2.2.2.c Pre-Assessment Preparation).
3. Workshopping ways and means of information gathering (see previous and section 4.2.2.2.a. How We Might Be Working Together).
4. Workshopping our own small scale research process with findings that were fed back to the group, which was also re-referred to a year later (see section 4.3.1 Executive Functioning Workshops).
5. Fikile’s presentation and manual about Ubuntu Ethics (see section 4.3.3).
6. Providing copies of the initial transcribed and translated material enabling everyone to see what the data looked like (it is also possible that, having seen themselves ‘in print’ might have caused some individuals not to return to the group).
7. Presenting the first conference paper and ensuring the participants’ voice at that conference (see section 4.2.2.1.c.ii Conference Attendees and Figure 5.1).
8. Engaging everyone in MB and DJ’s conference papers and presentations (see section 4.2.2.1.c.ii Conference Attendees and Appendix 5.1 & 5.2 for presentations to IAEE’s 6th ICEE).
9. Being open about the process, actively referring to *“this is research what we are doing”, “this is what our findings currently are”, “this is what the research can be about”* etc.
10. A significant activity, was when the group’s reading of a relevant research paper demonstrated a far-reaching impact. It changed their position to see that what they have been talking about and what they have everyday knowledge about, were being written about by researchers. More importantly, they realised that

they can also converse with what is written down, they can agree and criticise and go into dialogue with these ideas. The group wanted to meet the authors and take the conversation further; they had realised that they had a valuable contribution to make to the creation of knowledge (see section 4.2.1.1.c.i).

Owning the study was one thing, but I had not been prepared for the prominence of how the group owned research as process itself. The third aspect of the story is about how inherently empowering research can be. This is demonstrated by the various formats in which the participants became researchers. Realising that they had something to offer, mobilised them. Some wanted to read more and asked for more to read. These formats played out in their discussions, in their deliberate way of asking questions. The following excerpt reflects their thinking about epistemology*. Here, *philosopher* and *researcher* are used as synonyms:

A: I've got a question. I want to know. Philosophy, it is a true story? It's something that is? Or it's something that is created by the human? [Group responds: Come again?]

B: It's a research.

A: Philosophy is a true story, or it is something that is created by the human?

C: Philosophy, they go around and do the research. As they are researching, they will come to the different beliefs of people, and then they will try and balance, what does this group think, what does this group believe in, and they try and put them together in a paper.

A: I'd like ...that. Philosophy it is at true story or it's something that is created by the human?

D: It's research, it's reality.

B: They basically go out and do research, is the philosopher. So, the people who are coming they are philosophers, if I am correct. So, those people, as they have gone to different prisons, they have found that the project, the mechanism, the plan that they use has ...certain issues within prisons. So, it is something they have tried at maybe four different centres, so they come up with a statement to say, 'this is true.'

A: So, you have answered me?

B: Ya, that is what I am saying...this is true, because we have tried it at Lion, Rhino, Buffalo, Leopard and Elephant, at four places. So those four places gave us an answer that this thing is true. [Group: Yes; Yes] [00:05:26] Not that it is true all around the world, but where they have researched.

A: Because, when you do a research [00:05:34] you want to get the reality.

B: Ya, so they come up with those things, like - as they come to see us, they are going to get the truth about (name of Centre), (name of Management Area) and they are going to put it together. If they've done (name of another Management Area), if they've done thingy (name of another Management Area) they will say that all these, they are coming up with the same, so it becomes a fact, it becomes a true research.

A: Okay, thank you.

D: I think philosophy is the study of life. The study of life."

The role of researcher made participants sensitive to being objective and inclusive: *“I think because we are making a research, we have some of the inmates, some of white inmates in our units...we can call them”*. This was demonstrated in how the conceptual analysis of events was initiated e.g., in the discussion of Ubuntu and hooliganism and protesting; Ubuntu and loyalty; the demonstration of ethical reasoning and doing research in own cells:

“A: I think if we go to research of people like Socrates, that will give us an idea of what a true philosopher is. Because those are people that are known to be philosophers. And then it will give us an idea what they did in their lifetime to be known as philosophers.

B: And what did they do as philosophers? What did we say? What did Socrates do?

C: Ya, okay, he taught by asking questions. He taught by asking questions.

D I just want to say this, and that he came in with a certain way of asking questions. That is known as a Socratic question.

B: And what is a Socratic question?

A: I have tried to imitate such people and come up with my own questions, such as people like Socrates, to say that, here is a taxi driver. He has been driving a taxi for 10 years. Here is someone who has just got their licence, who went to 10 lessons, they went to the test, they wrote the licence, the test, and they got the licence. Of the two people, who is the better one.”

Such *cell enquiry*, also led to experimenting. After a participant had put up the Ubuntu Pillars in his cell, it was used to test outcome *“because if he can keep displaying these things there, we don't know the influence of it”*. Research became something everybody could do to inform their everyday life about matters concerning justice and fairness:

“Secondly, those fellow brothers, I don't know, I am still making the research, if you complete matric and get a diploma or matric here, if they went back to their country, they hire them because they didn't do wrong in their country. Now, they get the education from South Africa, I am still making the research that if they going back, because they didn't do any crime in their country, but they go to hire them in other government.”

The way in which participants referred to their doing research demonstrated how inherently empowering the position of *becoming a researcher* is. It provided resilience for dealing with negative outcomes – as in the case of Az's transference when it was stated: *“This is still research”*. *“It normalises and validates the ‘not knowing’ position, and gives you the permission, and power, and time, ‘to go and find out’. It immediately provides a future position and a direction. It is both an identity and a verb”* (fieldnotes). The importance of research was emphasised in the decision to do a case study, where the vulnerabilities around health and death could be analysed and addressed (which extended into how the system treated families). In this regard insight was expressed regarding how research using

appreciative inquiry could be used as an intervention (the context however, prevented this from being processed further):

“I think it is an interesting avenue to take, in the same stance. You are shifting the mindset of the person from a spirit of complain - and you are putting them in the spirit of happiness. You are putting them in the spirit of trying to come with solutions and ways to sorting out what is bothering them. Because, as you say, the nurses come, all they see is just problem, problem, problem, problem. They fail to now think of solutions because there are just too many problems. But if you shift them to a space of comfort, of happiness, of 'tell me something happy about why you are a nurse, tell me why you chose this career' it takes them to where the basics were of why.”

It seemed to reach a climax when a participant referred to the outcomes of the initial research the group did (see Table 4.2 row 3 *Prioritising*) – decisions were based with reference to this outcome, which led to initiating the first official project:

“(referring to the young men who are addicted) ...This matter of X. I find that there is a place that we don't really understand. The people that X are talking about, I don't know their problem. I am also searching; I also want to know. We are not (only) teaching and learning, but we are doing research here. These people, that all that they have, we should find the problem. So that they can prevent other people coming across the very same problem. Secondly, last year we did touch on the drug matter. It is also here as well, on this document (See Appendix 4.9). The last I remember, we had to solve these things. All of us here. We had to choose from these. But then the drugs, corrects the translation it has appeared now. We haven't followed any of them, but the one of drugs, it has emerged. Now that we have this document, I think we should sit on it, so that we can research on it. We are doing research here, we identify a certain problem, and then we use our analysis to solve that particular matter. The drugs is our problems as well. Because we went and we were supposed to touch on the drug thing. I think that, because it is here (referring to Appendix 4.9), we should give it a platform so that people can come join us here. Everything that Y wants, it is also here (referring to Appendix 4.9). The change that we want is the one that Y wants. If Y finds it we will see that there was progress here...we can't say we cannot do this one, based on this document - we all have it (referring to Appendix 4.9). What X is bringing about, is our problem.”

5.6 Self-reflection

It was only in the final phase of the project that I was able to capture and understand an ‘interconnected – reciprocal – solidary unit’ as the eight PAR process had revealed. It was only now, with hindsight that I comprehend an earlier impression shared by Fikile when she found the group was merely ‘testing’, ‘mapping’ or ‘charting’ a potential arena (see section 4.3.3 *Main Group Discussions* and then *Reflective Writing*). Fikile addressed the mere ‘circling’ around issues by giving the group a reflective writing exercise. This seemed to

enable people to move to having more 'real' discussion and dialogue. The narrative visualisation demonstrated how revisiting, re-processing and re-working of a concept/theme/issue was a spiralling (as opposed to a circling) process. This was the process of understanding each other, and thus evolving the understanding of a theme which would enable the group to move forward in a harmonious way.

Reviewing the role of initiating researcher, particularly in Phase IV, suggested little difference between us. We all intervened in an ongoing debate to get the process back on task, individuals translated discussions to the real world, summarised what had been done before, focussed on the task of the day and formulated the direction. It was only with the analysis of the fieldnotes that I realised that it would have assisted the process if the meta-story of what we had done were given more often, preventing the self-critique. However – it was an elder who in a crucial period of Phase IV ascended into this role, highlighting the aspects which were significant:

“If I can say this, maybe people will understand. Initially, when Janeen came here, when the course started. We had to brain storm about all the problems that we are having in the centre. We had a brainstorm, we had problems with gangsterism, drugs, everything. Ok. So, those are the problems that we should be tackling. The problems that we mentioned when we first started the course. And after that, there is a format, which we should follow as a group. We were taught, ethics, we were taught, problem-solving, we were taught, morals, we were taught Ubuntu a lot of things we were taught. We were taught how to solve our problems in a SWOT way. Your strengths, your weaknesses, your opportunities and everything. That we were taught. The problems that we did mention, when we brainstormed, those are the challenges, that we should tackle as the community in (name of the management area). So, it is upon us.”

The unexpected transfer of Az confronted the group development with a crisis. As could be expected of a crisis, it also tested my sensitivity for my race and rank's reinforcement of hegemony in the group. As tension was building, I had to be thoughtful to remain part of the group process and to therefore focus on listening. At a specific moment (after telling myself to 'think Ubuntu'), I could utilise my difference, as the only female, to show care for the intensifying emotions, leave the room and fetch some water. The group had continued the confidence to manage and process the emotions as a unit and proceeded with their deep engagement in ethical reasoning.

At other times the neuropsychological formulations proved to be a useful contribution normalising experiences (as these had been referred back to): e.g., when persons reflected that a process was difficult, mental functions could be externalised, rephrasing how shifting

between different neuropsychologically tasks and time-management was effortful to the brain: *“We only have one hour, so we have to learn to work smarter, not harder. But because we go fast, I know it is hard. But every time you shift, it is exercise for your brain, your muscles are getting stronger. Don’t worry about it. You are practicing, it is like a gym for your brain, this.”*

Another useful role was to model a constructive way to work with critical assessment and change, rephrasing that we are learning how to improve things and trying out better ways to go forward.

Phase IV may have also caused a certain group of persons to remain involved, e.g., those who have more tolerance for ambiguity and uncertainty. The persons who continued participating in the study reflected a group of individuals whom I had come to recognise in my work as a DCS official. I deemed such persons ‘more rehabilitated’ than myself, personal role models in their motivation to learn and pragmatic leadership to make a difference with integrity. Through the study, working closer with such inmates revealed how the relapse of other offenders impacted them directly. I learnt how they saw individuals being re-admitted as failures which they took personally. It made persons question their own abilities – it made individuals fear that they too, may not be successful. Though the group had gradually shifted the focus to ‘changing mindsets’ it explained the initial longing for having something more concrete and substantial, even perhaps tangible, to be discharged to in the community. With first-hand experiences of the limitations of their community’s capacities, the fear lingered. Through this, I understood why projects such as the Timpson Academies were so successful (see <https://www.timpson-group.co.uk/timpson-foundatin/prison-training-academies/>). Not only was it giving trainees an alternative identity to relate with, a role and a meaningful way to spend their time while being incarcerated, it also provided continuity, meaningful and tangible security of employment. This would provide an answer to the inmates’ expressed fears. The Timpson project can be criticised for its inherent corporate model. Alternative models that have a stronger entrepreneurial focus, such as *Sew Southern Africa* (<http://ilovesewing.co.za/>), could also provide good alternatives. Although employment *per se* does not guarantee desistance, meaningful employment is associated with desistance (Ramakers et al., 2017).

The systemic nature of Ubuntu interventions needs to be pointed out. This ensured a rippling effect suggesting the possibility of more sustainability: e.g., linking persons who are asking for assistance with addiction to the caring services, re-involving an NGO and inviting individuals to become part of a non-stigmatising group for support. In at least one case, being part of the project's thinking about connection had stimulated a person to phone his mother on her birthday – it had the significant impact of his family coming to visit him. This was a systemic change - following his sharing of the event, more participants connected with him and increased his pro-social capital, which is associated with desistance (Kay, 2020). Fikile had independently reported that the moment of him sharing the re-connection with his family with everyone, remained a significant memory for her.

Finally, one more aspect of persons in correctional systems should be mentioned. As had been the case with my clinical work doing assessments for the NCIS, I became aware of the multiple traumas which many people who are incarcerated had experienced from a young age. In the study, I could use my position to refer participants to the necessary therapeutic resources which they would otherwise only have had access to at the end of a long sentence. The extent to which past experiences, contexts and direct traumas may have on the maintenance of criminal behaviour, is touched upon in the discussion of the integrated rehabilitation model which follows in the next chapter.

5.7 Summary

This chapter provided the findings as a landscape of results to interact in the Bakhtinian dialogism of becoming conscious, meaning making and positioning. The first landscape presents some of the 'products' of the real-life project as the story of the methodological journey, the impact of Phases II and III and the participants' interaction with the academic audience. The second landscape focusses on PAR, identifying eight processes towards transformation. The third landscape describes the automatic/ sub-conscious emergence of ethics, first as product of inclusion and secondly as a study outcome in terms of the group's ethical reasoning in response to a real-life crisis. The quantitative findings of the fourth landscape point towards a real-life project's ability to improve executive functioning and the significance of deliberately incorporating emotional regulation (e.g., mindfulness) as part of such interventions. Finally, the fifth landscape represented the participants' 'double-voiced' Bakhtinian positioning (Hynes, 2014); as

experts speaking what they need an audience to hear; researching dialogism expressing what has to be read. This chapter concluded with reflecting some observations that are pointed out and added to this dialogism.

In the following chapter the landscapes are meaningfully brought together by a neuropsychological interpretation. This provided a consolidative platform from which the integrated model for rehabilitation interventions could be crystalised into its various components.

CHAPTER 6

A CRYSTALISED MODEL FOR REHABILITATION INTERVENTIONS

*Spirit is important. Rome wasn't built by an individual in one day.
Let's understand that in jail the challenges are very big on a daily basis.
Our values are inside.
The direction I think...we are something which are unique. An organisation.*
Participant

In this chapter, the *Methodological Journey* and *Landscape of Results* crystallise into an integrative model for rehabilitation intervention. First, a neuropsychological interpretation of the findings is discussed which provides the platform informing the model. The narrative visualisation of the model is then outlined according to each component's narrative, scientific evidence, application in the study and recommendations. The chapter concludes with summarizing the integrated rehabilitation model as PAR Real Life Projects acknowledging the complexity of rehabilitation as an ever-unfolding landscape. Its diversity requires the different representatives to participate in ongoing dialogues.

6.1 Theoretical Interpretation of the Findings:

The analysis of the transcribed interviews (see sections 5.2 & 5.3) revealed a process of inherent ethical functioning happening *of itself* – that is automatic, intuitive. This indicated that some basic questions about ethics needed to be considered. Where does ethics come from, where does it start? If ethical functioning reveals itself as a 'natural phenomenon' why do we have ethics and what is it for? Yoder and Decety (2018) answer that our human ethical capacity has evolved to facilitate our co-operation as a society. This is done by means of interweaving systems of virtues, values, norms, identities and behaviours (Decety & Cowell, 2015). Ethics therefore has an inherent inclusive, holistic function – it manages our self-interest (which has the tendency to exclude), to make a collaborative society possible. The plasticity of our human nervous system both relies on supportive reciprocal interaction for its development, and it creates those very supportive reciprocal interactions to evolve

(Yoder & Decety, 2018). Thus, co-operation enables societies – and cooperating societies continue to develop (and foster the development of cooperative individual subjectivities).

6.1.1 Triune Ethics

Triune Ethics Theory (TET) (Narvaez, 2008, 2009, 2012, 2016; Narvaez & Lapsley, 2009; Narvaez & Vaydich, 2008) is a bio-social meta-theory of ethical functioning, integrating the complex neurological networks which underpin ethical functioning and guide moral actions. It provides a developmental goal for ethical functioning which is not only founded on existing philosophical and psychological ethics theories (e.g., Kohlbergian ethics, engagement ethics, dual-process models of ethics, social intuitionist models of ethics, and cultural trio-ethics), but also addresses some of their shortcomings (Han, 2014; Narvaez 2008).

According to TET we have evolved different nervous system states to prioritise behaviours that are most beneficial in particular contexts. These are shaped by experience, predisposing reactions to different environments. Each of these states characterise sub-conscious ethical orientations that will influence perception, cognition and drive action according to the context and the individual's personality. The theory demonstrates the sub-conscious aspects, the impact of the environment, as well as the importance of individual agency in ethical functioning. It explains differences in ethical functioning in terms of the interaction between the context and the individual. It explains how early emotional experiences can influence the individual's personality formation and behaviour and how different contexts can summon reactions from individuals (shaped by their personalities).

Optimal human ethical development is viewed as the combination of empathic relational commitment to others, intellectual capacities for complex reasoning and perspective taking (Narvaez, 2012, p. 147). TET proposes how this can be learnt or obtained. It maintains that typical, rational, top-down moral education starts from the wrong place – **because our ethical selves emerge from how real-life experiences shape our brain.** Greenspan and Shanker (2004) argue that our rationality is built on the intuitions that were nurtured by engaged pro-social relationships and communities. It is subjected to the diversity of the social world it engaged with. This provides the basis from which deliberate ethical discussion and reasoning can develop into ethical expertise.

Although TET suggests three affectively-rooted brain states, it is not used in the oversimplistic terms of a triune brain (see Cesario et al., 2020, for a critical discussion of the concept of reptilian, mammalian and human brain). TET recognises that each global state involves neural networks which form three complex neural systems. A distinctive ethical orientation is associated with each neural system i.e., 1) Security ethic, 2) Engagement ethic, and 3) Ethic of imagination. The development and activation of these systems depend on certain environments. Therefore, significant exposure to such environments, specifically during early developmental phases, would dispose one to specific ethical orientations. We need to recognise and understand the ethical orientations and changes that are required to enable ethical behaviour in individuals and societies. This can inform how ethical orientations can be managed and develop, and how to manage and develop ourselves.

6.1.1.1 Security Ethic

The state of security is linked with the neural systems that are involved with the stress-response network. Its main goal is either survival or supremacy and therefore it mobilises the fight, flight or freeze reactions. The state of security however, mostly functions implicitly, allowing the survival or supremacy to be shaped by significantly more cognitive sophistication and social awareness. The security ethic becomes dominant when there is perceived competition or threat to the individual or group. It then primes actions that are focussed on self-preservation or status, which can either be aggression or withdrawal (an inverted exclusion?). The security ethic prioritises focus on the self, safety and in-group dominance over moral values. It aims for self and ingroup advancement. Characteristically it tends to be conservative, following traditions, rules and conventions, with limited compassion for others. Its strengths are loyalty and bravery. In chronically threatening or competitive environments this can become a dominant mode of interaction and moral functioning.

6.1.1.2 Engagement Ethic

The state of engagement involves the social neural systems which connect the sub-conscious and conscious networks involved in affect, affiliation, personal identity, continuity, memory and the sense of reality. Emotional self-regulation develops to extend self-regarding abilities to other-regarding. These are bi-directional (top-down and bottom-

up) links which are co-constructively developed with sensitive care-givers. This system is thus orientated towards face-to-face emotional affiliation and activated by caring relationships and social bonds. It triggers actions that allow intimacy, attachment and care. The engagement ethic prioritises cohesion and co-operation. Its characteristics are compassion, openness, tolerance, moral sensitivity and moral motivation, which is predictive of pro-social actions. The engagement ethic becomes active in safe and caring environments where persons have a sense of belonging.

6.1.1.3 Ethics of Imagination

The state of reflection activates conscious, executive neural systems which mainly focus on the external environment. Although it has a top-down function that co-ordinates the older evolutionary networks, rich connectivity enables its unique ability to integrate information from the external and internal environments. Having high plasticity, its development is ongoing. Its main goal is problem-solving and learning and therefore it mobilises the networks involved with deliberate reasoning, imagination and abstraction. The state of reflection is paramount in circumstances of free choice, ambiguity and uncertainty and has 'free won't' (the ability to stop automatic responses to instinct e.g., prejudice). It will tend to trigger actions to involve deliberation; abstraction from the present moment to consider alternatives; addressing concerns that are beyond the present; active adjustment to changing relationships and situations; analysis of complexity; and the balance of priorities. The ethic of imagination links emotion and moral appraisal and has a greater ethical sense than the other ethics. It provides the means for an extended sense of community beyond the immediate (also the future, the unknown and other organisms).

This ethic requires contexts which promote hope and excellence. Development in the ethic of the imagination occurs with –

- heightened awareness of contextual ethical dilemmas and their mental templates, imagining and assessing new mental templates and options; and
- reframing dilemmas and creating new answers that are innovative, economically sustainable and ethically defensible.

There are different types of imagination ethics: *communal imagination* is related to integrity; *detached imagination* is dissociated from emotion and *vicious imagination* is coupled with security. The different ethics can therefore interplay with each other. Just as the imagination ethic can frame behaviour of an individual or social life narrative to operate the security ethic (vulnerability/superiority) – so the engagement ethic can prevent decisions to be put into practice (mercy/avoidance).

6.1.2 Discussion

TET does not only provide a neuropsychological interpretation of the findings, but also demonstrates the core social issues which resonate with community psychology and criminology. TET links ethical functioning to **situational priming**. It holds that humans are able to behave in the most ethical ways in contexts where the Security Ethic is calm and the Engagement and Imagination Ethics can be in full operation. Such contexts are dependent on inclusion and their creation is the subject of critical theory (see Figure 2.1).

In this study the participants had displayed a high level of intuitive ethical functioning as the communal interaction developed (see section 5.3.1) and when confronted with a serious, personal ethical dilemma (see section 5.3.3). According to the theory the participants were thus taking part in a **context** which could have been expected to have maximised ethical functioning abilities. TET explains how the different roles of the study's phases, as they were informed by the three disciplines could have enabled this: The focus of *Phase I, Ethical Research*, on an open, sensitive, responsive and participatory approach had set the scene for developing an atmosphere which was unusual in the context of an incarcerated environment. Some people would have been drawn to this, e.g., those with a curious social interest. Particularly *Phase II Action Research* (see section 4.2) and *Phase III Reflexive Research* (see section 4.3) developed an environment circumventing the Security Ethic to instead embody the Ethic of Engagement. The initial structure and intensity of the project ensured a sense of consistency, predictability and familiarity. The informal approach facilitated a fun – yet purposeful -interaction about a shared (thus known) reality, utilising people's expertise in a responsive, safe and supportive context. The longitudinal element allowed acquaintances, relationships and friendships to be developed and built – realising the inclusion integrating neuropsychology and community psychology. The embodiment of the Engagement Ethic was brought to fruition by the respectful participation of society

representatives who were engaging with a mutual curiosity and an ethic of care. Such an environment was ideal for awareness to develop, critical exploration to occur and new learning to take place in both insiders and outsiders. This resonates with the critical theory integrating community psychology and criminology.

From the start of the project, **reflection**, which is associated with the Ethic of Imagination, was gradually introduced in an informal and playful way. It was well 'scaffolded' by the provided structure, maximising choice, topics with high relevancy, discussions in vernacular languages and the use of posters to facilitate working memory. During the Reflexive Research stage, the journaling extended reflection to people's everyday life and private context. The continuous process of providing feedback, larger group discussions and sharing, assisted participants to learn from each other. Sufficient humour and especially Fikile's ability to create and maintain a general good-natured atmosphere, assisted individuals to allow each other's thinking to be challenged.

Phase IV's deliberate shift to a 'purer' **PAR** and community psychology **focus** provided the space to activate the Imagination Ethic. This was when a previously active sub-group stopped coming. The theory would explain that in the complex group context an open-ended approach may have been too challenging, activating their Security Ethic and in this regard, withdrawal. When the participants at a later stage of the group discussed with prior group-members why they stopped coming, a few were able to feed back that they wished for more structure. They would perhaps have benefited from a longer engagement focus, more scaffolding, or the reducing of structure to happen in a safer context (e.g., in smaller units). A purer action research project (researching one's own practice) would have allowed for more opportunity to enable the development of the real-life project into *spokes* which could meet such needs. The current study remained focused to enable the participants who volunteered to develop their own process.

TET also sheds light on the significance of **Ubuntu Ethics** in this study. The cultural relevance of Ubuntu immediately created a space where people could feel familiar or even at home. Thus it could answer critical theory's calls for inclusion, empowerment and agency. It would have drawn those who were comfortable with, curious about, or had a resonance with Ubuntu values. As a cultural approach Ubuntu would thus have calmed the Ethic of Security. Its inherent communal focus, on the other hand, enhanced the Ethic of

Engagement. This had set the stage for the *indaba*-context of agreeing-to-agree. Hereby, participants individually activated and exercised the necessary executive functions required to enable the group's process of effectively working the Ethic of Imagination. As an ethics approach, Ubuntu provides an immediate pragmatic and interactive orientation. In this way, the state of reflection's external focus can be stimulated, assisting individuals to embody ethics in a practical and integrative manner (thus incorporating neuropsychology and criminology principles, see section 2.4.1).

Finally, TET explains the impact of the **mindfulness** exercises. Guendelman et al. (2017) argue that mindfulness involves both top-down and bottom-up brain processes. Mindfulness thus assists with both consciousness and emotional regulation. By immediately calming the Ethics of Security, it avails the Ethics of Engagement and a state of reflection to also access the Ethics of Imagination (hereby involving the 'social' and the 'critical'). Utilising the subsequent control, the Ethics of Engagement and Imagination can be activated together. Mindfulness 'sets the stage' in two ways. Both individually, in terms of each person's neurological state, as well as contextually, in terms of setting a baseline for a group to be working from. As a consequence, the impact is enhanced – not only employing the brain's plasticity (Askenasy & Lehman, 2013; Davidson and McEwen, 2012), but also assisting individuals to have access to their best (most ethical?) resources, and the group to benefit from each other's best (most ethical?) abilities (thus incorporating inclusion and critical theory values). The regular practice and repetition would have paired the environment and internal experiences to allow more automatic access to this state (Bargh & Chartrand, 1999; Bargh, 2013). Hence several individuals volunteered noticing changes in their behaviour. This was confirmed by the statistically significant findings in the quantitative results. In the following quotation the participant reflects on the powerful combination of Ubuntu Ethics and mindfulness. This quotation not only provides more context to the neuroplasticity but also demonstrates how self-awareness and emotional insight become more internalised:

"But ever since I started attending this course, I learn: 'soft, soft' [Group: 'Louder!' (laughter)], I just say 'okay, that is fine, it's fine' I always remember, as if any time I want to react, eh, 'what am I practising?', I say to myself, anytime I want to react, especially in my cell, I always say to myself, 'eh, I am not practising Ubuntu - so just let it go'. Because I am the kind of person, I don't take nonsense. I may look very big, but I don't take nonsense. So, this programme has really helped me a lot, to overcome that hot temper, that hot temper, I react quickly. So, ever since I started this programme, from Lion section - remember when we were in the class there, from that time to now, I think I have really learned a lot. Because,

very soon, eh, I think I will be going out, but thanks to the Will of God the date will be announced very soon. At the same time, on Saturday is going to be my birthday, I'm going to be 60 years on Saturday [Group: laughter]. Thank you."

Four months later the same person shared how he was consciously using his skills to manage the stress he was experiencing in anticipation of release. (The tension persons experience from the time they receive their release date until the actual release seems so significant that we had started a support group for lifers who had received their release dates in the centre I was working in). He had noticed that people "got to (his) nerves easily". He felt that he was able to "hold his peace" and to talk to people "in a nice way", trying to get positive aspects out of situations. He stated that he "tried to show love", even though people seemed to respond negatively.

"It is not only because of who I am, it is because of what I achieve from here, the discussion, most especially about what Ubuntu is. Ubuntu doesn't really matter, whether you are from Zimbabwe, whether you are from Nigeria - it is something from inside. That is what is ...me now. I am talking about now, because the journey is almost done...the journey used to be very far. Everybody is just going at me like this, so by the grace of God, what I am achieving here is sustaining me."

Our ethical functioning depends on neural networks that utilise previous (unconscious and conscious) **learning** to respond to the external environment and our internal experiences (Moll et al., 2005). The real-life project provided a context which not only enabled the ethics of Engagement and Imagination to be fully activated, but the very nature of PAR also allowed for these to be developed further. The eight stages of the PAR progression (See Table 5.3) from deciding on developing a prevention programme to a group application for addressing substance abuse, is aligned with the state of reflection and based on community psychology and criminology's critical theory principles: The group dialogue deliberated on understanding crime and relapse through conceptualising and naming the world (processes 1 & 2). 'Abstracted from the present', the group thought about and owned resources, interpreting the theory of Ubuntu and found a freedom and power to apply and test these to various unique contexts (processes 3, 4 & 5). Broader contextual and societal issues were 'named' and addressed from historical, practical and political angles by which a self-positioning could occur (processes 5-7). Particular concern was expressed for addressing the society of the future and this was also acted upon in a systemic and inclusive way (process 8).

Inclusion and critical theory goals were realized by exposing international audiences to the expression of what African culture has to offer to address the *wicked concerns* of humanity which Mertens (2015a) refers to. This formulation was indeed facilitated by the cognisance of an international reality. The longitudinal element of the study, provided meaningful space to practise active adjustment to changing situations and contexts (e.g., getting involved in the centre's programmes; keeping continuity through changes in security; managing challenges; balancing priorities). Many instances were shared where emotional and moral appraisal could be linked (positive experiences at Family Day, offering inclusion and sharing of own family, funeral of Winnie Madikizela-Mandela, death of a cell member, rekindling of family relationships and assisting a family during their time of loss, mitigation by a judge, a cell's management of conflict). The development of diverse models of how Ubuntu was being successfully applied, continued to promote hope and a sense of having an excellence to aim for. By validating and recognising effort, and sharing achievements, the state of reflection had gradually progressed. Indeed, the crisis demonstrated the *heightened awareness of contextual ethical dilemmas* which facilitated such development. The group demonstrated a high level of inclusion in their processing of Az's transference and their concern for the young substance abusers' respective situations. It involved an acknowledgement and processing of the contextual factors and conflicting values. In terms of TET interpretation this reflects the group's imagining and accessing of new mental templates and options reframing dilemmas and creating new answers which are innovative, economically sustainable and ethically defensible. It also reflects the integration of neuropsychology, community psychology and criminology (see section 2.4 and 5.3.3): Working together through a crisis – the confrontation of a serious and personally experienced ethical dilemma – the group's unitary response demonstrated a high level of ethical functioning (having intuitively worked through all the levels and steps of ethical reasoning that had been contextually possible, see Figure 5.5.a). The real-life project of this study had created a platform, where we trusted our respective ethics to be 'pulled-up' from and according to the individual levels we each were functioning at. This was done by the participatory group context. The many unique stories (e.g., see sections 5.2.1.3, 5.2.1.5, 5.2.1.7 & 5.2.2.8) demonstrated how such a lived experience had become sufficiently internalised, enabling us to consciously and also subconsciously generalise what we have learned to other situations and contexts (e.g., see own story section 4.3.4.g).

The strengths which the participants have displayed throughout the study could have been interpreted from the perspective of resilience theory, positive psychology, feminist theory, and critical race theory (Mertens, 2012b). Models for adult learning (MacKeracher, 2004; Drago-Severson, 2008), transformative learning theory (Dirkx, 1998; Taylor, 2017) and Vygotskying theory (Vygotsky, 1980, 2012) could also have been used in this regard and some of these principles do underpin the evidence base of the model. From a criminological perspective, situational action theory would also consider the interaction between executive abilities and the environment determining an individual's morality and actions (Wikström & Treiber, 2007). TET, however, provided sufficient integration in order to finalise a model for rehabilitation which can be applied to both society and individuals. TET provides a useful frame for interpreting both the neuropsychological and social (critical theory) elements of the study. TET not only explains the link between a *lifetime of exclusion* and anti-social behaviour on a social and individual level, but also how this can be addressed on deeper levels involving both neurological and societal changes and the way which these depend on each other. TET clarifies how it is that **inclusion** shapes, develops and transforms us, not only as individuals but also as a society.

If inclusion and diversity are so important not only for our personal development process but also our evolution as a species – then we should consider whether exclusion can be ethical. The harmful impact of incarceration on society and “the fullness of its assault on the self” (Crewe, 2015, p. 62) is well documented (Van Ginneken, 2016). This study commenced with reporting the significant link between executive functioning and the onset of crime (see Chapter 2). However, even short periods of incarceration have such a debilitating impact on the executive system, that it raises human rights questions (Ligthart et al., 2019; Meijers et al, 2018; Salles et al., 2019). If exclusion hampers rehabilitation and change, and even leads to the opposite effect of deterioration and the enhancement of stereotyping and further exclusion (Maruna & LeBel, 2010) - then we should consider whether incarceration is ethical. Evers (2020) states that the normative aims of science are to improve situations, and implies that the focus should be on studying the neuropsychological functioning of those who cause exclusion, rather than those who are suffering the consequences. In my discussions with anthropologist Min'enhle Ncube, she explained this as *studying-up*, a concept coined by Nader (1969). Up-studying has been argued for in anthropology and demonstrated in the post-colonial context by African authors such as Mbembe (1992, 2001) and Nyamnjoh

(2012). It brings us back to the question: *Why do we continue to exclude, punish and incarcerate if it does not change individuals or improve society - if it is unethical?* The neuropsychology of punishment, stereotyping, perceived fairness and *schadenfreude* (our experience of pleasure in response to the misfortune of a perceived 'enemy') explains the phenomenon in terms of our brain's activated reward system (Cikara et al., 2011; Cikara & Fiske, 2012, 2013; Singer et al., 2006). We punish because, in certain contexts, our brains *like it*. Maintaining the subsequent unconsciously generated rationalisations for this behaviour allows our continued denial of the evidence that punishment does not benefit others or society. Should we make this socially undesirable response more conscious, we could start processing its ethical implications. This changes the original question to: *How do we change our responses of wanting to punish, exclude and incarcerate?* TET points to the answer in simple and achievable terms: by addressing the Security Level Ethics with Ethics of Engagement and facilitating Ethics of Imagination. A practical example may be the restorative justice approaches that are being advocated for in South Africa (Murhula et al., 2019). Learning about Ubuntu, learning with and from participants doing PAR and thinking about the principles of studying-up approaches, has made this question more specific for me: *What can research do to facilitate inclusion to change society?* I have since rephrased my wanting to do research 'with whom and where it matters the most, that is the most marginalised' to wanting to do research 'in the way it matters the most, working with the reciprocal intersection between different peoples of a society, to make holistic change possible (that is individual and society)'.

In the analysis of fragments of this story – elements are being discovered. In the words of Searle's (2004) description of neurological studies - these serve as the *building-blocks* by which the rehabilitation model is gradually assembled again. Eventually a *unified field-approach* crystallises which integrates what we know about developing pro-social functioning in terms of the pragmatic delineated intervention of real-life projects. The core principles identified by the integration of the three diverse disciplines as set out in **Figure 2.1** has been realized in the study: developing executive functioning (neuropsychology and criminology), improving social inclusion (neuropsychology and community psychology) and addressing the ethics and rehabilitation of both society and individuals (the critical theory of community psychology and criminology). Positioning PAR as the 'real life project' could provide the overall integration across these disciplinary overlaps.

6.2 A Transformed Model for Rehabilitation Intervention

Rehabilitation occurs when the components that are involved in change are addressed. The current study has integrated key principles from where the fields of community psychology, criminology and neuropsychology overlap to inform the development of a model which was applied and assessed. Hereby, this study has demonstrated how a PAR project is able to address social inclusion and to practise neuropsychological functions that are important for being effective in society (e.g. executive functions) and (by doing that) to facilitate ethical development not only of individuals but also society.

The 'moral self' is a complex, multi-layered construct (Jennings et al., 2015). Neurological studies are helpful in understanding ethical functioning and how it can be improved. Human brain plasticity demonstrates the power of experience on brain functioning and how this can modify pre-existing structures (Evers, 2020; Narvaez & Vaydic, 2008). Experiences which involve bidirectional activity (bottom-up and top-down) of the nervous system can be expected to have a more significant impact - thus, when both subconscious and conscious, neurological and sociological, individual and group, context and agency, awareness and purpose, society and individuals are involved. This principle is utilised to identify, underpin and inform the core components of the model.

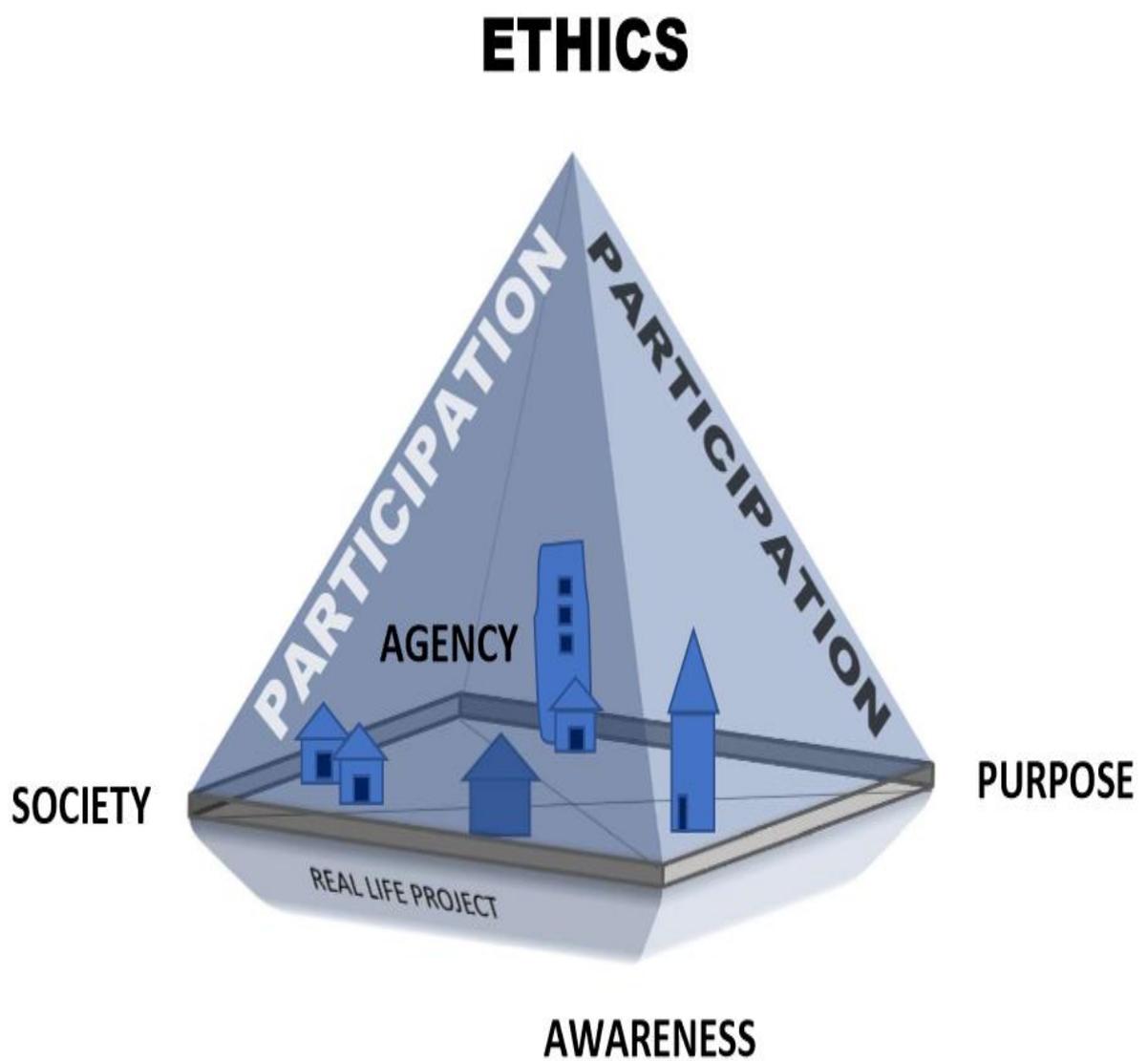
A narrative visualisation of the rehabilitation model is provided in **Figure 6.1** as this provides an effective way of representing the integrative aspect of the model.

Initially, the literature study considered a two-dimensional figure (see Figure 2.1). The overlapping areas between the disciplines could be incorporated into a real-life project which was represented by a triangle. True to the process that was generated from the study – the current model is represented by a triangular three-dimensional shape. Having been practically applied, gradually developed and assessed, the figure identifies the required components for generating transformative change.

The triangular figure consists of a BASIS ('real-life' project involving different activities) two MECHANISMS (ethics and participation) and four ELEMENTS (society, purpose, awareness and agency). The linking between these components involves the interaction of the three neurological ethics orientations (Ethic of Security, Ethic of Engagement and Ethic

Figure 6.1

Integrative Modal for Rehabilitation



of Imagination) in a way that can facilitate reciprocal change in both society and persons who are incarcerated.

This section discusses the components of the model as follows:

- a) Narration of the visual model (section 6.2.1);
- b) Scientific and / or theoretical evidence which underpins the model (section 6.2.2);
- c) Reflecting summary of the components in the current study (Practice Application); and recommendations for PAR research/applications of the model (section 6.2.3).

6.2.1 Narration of the Integrated Model for Rehabilitation of Individuals and Society

6.2.1.1 *The BASIS: A Real-life Project as a Stage Where Transformation can begin.*

The conception of a *real-life project* remains the *basis* of the model as it provides two important aspects that enable the model to work, *temporality* and *security*.

This sharing of a specific physical, psychological, social and a cognitive space provides an alternative spatial-temporal context to involve holistic brain functions. Temporality involves the longitudinal aspect of the intervention. Having a past, present and future, enables the telling of a story – an individual experience which can be socially positioned and become part of the self. Such a *stage* provides a real experience to integrate the required elements rather than a random exposure to fleeting impressions in time. In this manner, learning is well anchored, linking the emotional, cognitive and social into a rich resource which is immediately accessible from the self (if it had become habituated) or through the recall of a story (*referenced knowledge*).

The real-life project functions to provide a secure environment with predictability, support, understanding and safety. This calms the Ethic of Security's focus on survival, in-group supremacy and self-preservation which is associated with antisocial behaviour (Decety & Yoder, 2015; Narvaez & Vaydich, 2008). By developing an adequate social context, the Ethics of Engagement is stimulated to facilitate learning and the development of ethical functioning. With the Ethic of Security remaining calm, the Ethic of Imagination is enabled to be activated and to function.

Real-life enables responding to real persons and real context - in this way, what matters the most for learning, what draws us in the most for participating, what is most important for the brain's plasticity, is available to get *the best* from our brains.

Onto such a stage it is possible for the principles and elements important for transformation to 'become alive' and meaningfully integrated to enable change. The self becomes a player and has a place to practise inclusion in the complexity of real-life, experiencing it as a whole (individual, interaction, social, physical). This is the safe stage where individuals practise with the necessary scaffolding, learning from each other. The continuity, the building of relationships, provides a space to be a person, a laboratory to bring 'aspects of your life and world to' to look at, and show, to decide upon and to take away to go and work with. A place where you can give feedback, can 'name' and also experience yourself longitudinally; a place which can register, or record or tell the story of the process of becoming.

6.2.1.2 Two MECHANISMS: Ethics and Participation

Ethics and participation are identified as mutually dependent and integrative mechanisms by which intervention can simultaneously occur on the individual neurological, the interactive psychological, and the social systemic level. With ethics, participatory interventions become authentic; with participation, ethical interventions become transformative.

It should not be surprising that in this study's attempt to bring community psychology together with criminology and neuropsychology – ethics had emerged as the central theme of their area of overlap. Ethics involves the very machinery of our decision-making and relationships. This study re-discovered ethics not only as a means to an end – not only a passive set of rules to consider what we do – but as a potential energizer assisting us in determining and guiding the why's, what's', where's and how's of our participation.

a) Ethics - the starting and ending point.

Ethics is the mechanism which links all the components of the model and the point where the elements cross. Because its position depends on various coordinates – it is not a fixed point and the relationship between the coordinates need to be processed. However, it always contains respect for human dignity as the universal crux from where the other

principles, such as inclusiveness, flow. As point of departure, it may be abstract, a principle, guiding, clarifying and enlightening what happens on the real-life stage. It prevents events from happening at random. It informs responses and shapes plans. As point of arrival, it aims to become integrated into the automatic aspects of perception, experience and behaviour. Ethics 'externalises' what is right and thereby gives an empowered voice. As agents in society, awareness of ethical purpose can develop sensitivity, judgement, motivation and ethical action. The pillars of Ubuntu provide a means of translating ethics into universal concepts that are defined and understood on both an intuitive and a behavioural level. It embodies ethics, immediately giving persons access to everyday application in a multitude of possibilities and scenarios. If the real-life project is the place where we consciously and deliberately try to be ethical, we receive ethics, we interact - and acting more ethically, we change ourselves, each other and the world around us.

b) Participation changes brains, persons, contexts and societies:

By participating the self becomes agent, included, relating, aware and develops purpose. *Participation* is the mechanism which translates ethics into the real-world configuration of the model's important elements. The four required elements enable participation to become transformative: the society to participate with, the purpose to participate for, the reflective awareness to participate by and the agent as the participator. Such participation occurs within a co-defined, co-constructed, co-developing narrative of a real-life-project which is geared at maximising participation. Participating involves a reciprocity and creativity. Participating is how we learn the best and how we become. Participation provides the multi-dimensional level, the opportunity to involve the whole self, the whole brain as relational the weaving of the self into the whole, owning the whole, the social. By participating the self is not just being a recipient but also a co-creator and co-owner of change. Through practicing doing, skills develop. Through continued practicing, habituation occurs and expertise develops. Participation allows transformative doing.

6.2.1.3 Four ELEMENTS: Society, Purpose, Awareness and Agency

The model's four *elements* are essential requirements for a 'real-life project' to be a source of transformation. The first two, *Society* and *Purpose*, can be seen as important for

the Ethic of Engagement and the last two, *Awareness* and *Agency*, for the Ethic of Imagination.

Figure 6 connects the four elements to indicate their co-dependence:

- Purpose involves societal inclusion, the development of agency and becoming more aware.
- Awareness respectively implies reflection with and about society, agency and purpose.
- Society is included with transformation purposes, to stimulate awareness (in both society and inmates) and to experience agency in transformation processes.
- Agency develops through society; it involves awareness of the interdependence between self and other and creates purpose.

a) Participating with society – Receiving Ethics

Participation by its very nature, requires an ‘other’ to participate ‘with’. This simultaneous interaction with a significant counterpart provides the necessary tension, energy generation, flow and movement which can effect change. Representatives from *society* can directly address inclusion by *how* / the manner in which they are ‘society’ to the excluded, e.g., by society interacting in a respectful, inclusive way, the Ethic of Engagement can be enhanced – facilitating reciprocal change. Exposure to representatives of society should be balanced between having sufficient connection with persons whom participants can identify with – maximising diversity (gender, age, race, background) and the variation of sector levels (e.g., justice, academia, business, ex-offenders, municipalities, corrections). Such variety of exposures should occur within the context of stable and continuous relationships (as was Fikile and my role) which provide the necessary core to narratively link the other representatives. The ‘story’ of a real-life project holds / binds the various relationships together (e.g., in terms of the prosecutor, authors and philosophers) to allow for meaningful processing and integration. Societal exposure does not occur in a random way – but with purpose according to the opportunities that become available as the real-life project unfolds. It thus requires a constant awareness and sensitivity, recognising opportunities and resources which can be reached out to. This sensitivity is extended to how people are connected and interact with each other. Sufficient space needs to be made for

the reflection and processing of these experiences. *How* the reaching in – reaching out, the inside-out – outside-in element of the project occurs is fundamental. Experiencing ethical treatment – let us behave ethically and thereby we, in turn, become the models from whom others (including our fellow participants and society) learn.

b) Participating With Purpose – Learning Ethics

Participation requires a *purpose*. We participate ‘in’, but we also participate ‘in order to’ – that which defines both the meaning and the value of the individual’s contribution, that which is ethical. The purpose conceptualises the learning. It defines and shapes the change that is taking place. It legitimises the change. Purpose links with society to provide the context of the Ethic of Engagement, developing empathy, care, the self and the us. The purpose of learning gives us permission to try, to not be perfect and to practise. In this manner the most important aspects of our brain are connected to enable habituation, behaviour becoming automatic, expert. Learnt ethics is learning to transform ourselves, to benefit each other, to improve society and to take care of our world.

c) Reflective Participating Enables Ethics Expertise

The third element, *awareness*, denotes the ‘how’ of participation. Participation requires a certain quality to be effective. Reflection about participation and participating with reflection stimulate our conscious awareness; the naming of our world (Freire, 1996). Through this process we become aware of connections, of cause and effect; we position, we understand, develop insight and apply wisdom. Reflection involves those cognitive aspects of the brain that are required for intention. Reflective participating triggers the Ethic of Imagination. The process develops individuals and individuals develop each other as each contributes to reach the place one cannot achieve alone – a place our process had ‘agreed to agree’ upon – finding the best/highest ethical position/possibility/action.

d) Participating as Agents - Creating Ethics

This element refers to the participators as *agents* in the participating process, with both voice and responsibility; ownership in the content and of the process. Requiring the integration and becoming of self, agency is both a given and a gradual process. It necessitates that a person chooses to enter or exit the stage and can participate freely. The

real-life project endows the agent with a structured scaffolding of social interaction, purpose and reflecting awareness. From this context the agent is empowered to discover and use their freedom. They need not be at the mercy of automatic, learnt processes (e.g., Ethic of Security), but can, when challenged by moral dilemmas, ensure the greater good with innovative responses that are not controlled by previous experience (Ethic of Imagination). They become the creators of ethical environments – facilitating ethics in others. Thus, they not only choose who they become, but also the society in which others are going to become.

6.2.2 Literature Evidence

A substantial body of neurological and neuropsychological literature is emerging which underpins the model's components. In this section a brief overview of these is presented, together with a consideration of some of the principles that inform the model (plasticity and learning).

That learning, rehabilitation and transformation can occur, is due to the human brain's **plasticity**. Although prior experience influences perceptual sensitivity and expectancies of what is apprehended, plasticity is relevant throughout the life course (Narvaez & Vaydich, 2008). Even subconscious or 'automatic settings' are not permanent but can be obtained and modified (Greene, 2014). The brain thus has the capacity to continue developing throughout the life span, irrespective of what our developmental experiences were.

A real-life project which purposefully involves society taps into aspects that enhance neuroplasticity and therefore can maximise learning:

- a) The '**social design**' of the human brain is integral to its plasticity. The brain requires an interpersonal matrix to develop, to be regulated and to be rehabilitated. This interdependence between relational experience and biological growth, evolved the human brain into a well specialised social organ of adaption. Any meaningful affiliation can stimulate neuroplasticity processes in the brain (for better or for worse). **Social inclusion** is therefore an important aspect of learning. Social engagement and support are required to optimise functioning, isolation (exclusion) causes deterioration. Social inclusion provides both the means through which learning occurs and the vehicle to practise what had been learnt (Cozolino, 2013; Narvaez, 2012).

- b) Learning occurs best in a context of mild/moderate arousal and consciousness (Askenasy & Lehmann, 2013). The emotional environment is significant as plasticity shuts down in high states of arousal and stress. Especially if people's identity as learner has been negatively influenced by past experiences, this needs to be atoned. Secure relationships, holding, supportive environments and the **regulation of emotion** are required to optimise learning (Cozolino, 2013; Narvaez, 2012).
- c) "The **social brain** takes into account both what we are learning and from whom we are learning it" (Cozolino, 2013, p. 12). We learn best by **exemplary models**, which a supportive group situation can provide, thereby upscaling each person at their individual level (Narvaez, 2012).
- d) Adaptation to a new situation requires sufficiently complex messages being repeated over a long enough period. This is also mirrored in neural connections. One event is not significant, but **persistent messages** result in the building of neural connections which strengthen the more they are used (Cozolino, 2013). This would explain the findings of Auty et al. (2015) that longer running programmes in corrections had more impact on behaviour changes than intense programmes.
- e) "Given that the brain's evolution is intertwined with both increasing social complexity and the emergence of language, the co-construction of **narratives** has come to serve as an agent of both neural and social coherence" (Cozolino, 2013, p. 21). Personal narratives of success enhance neuroplasticity. Narratives are not only effective tools for memory, but also provide powerful templates for self-identity and behaviour. Stories involve the whole brain and, because they are inherently social, they link and hold events that had occurred, what we experienced, how we learned, and that we have grown (Cozolino, 2013).
- f) The social nature of an adequately scaffolded real-life project, provides ample opportunity for experiences of joy, humour and play. These experiences tap into neuropsychological resources and enables the brain's plasticity (Cozolino, 2013).
- g) Evers (2020) refers to Kant's coining of the universal aspect of humanity – that the brain experiences reality in spatio-temporal terms. "The brain is culture-bound; it exists in **contexts** and cannot be understood independently of them" (Evers, 2020, p.8). Cognition

is situated and contextualised (Narvaez, 2012). A real-life project allows for thinking and acting to be practised within the context the learning is relevant for, a social reality which is focused on inclusion.

- h) **Experts** in any field have been educated holistically. Good training, involving immersion and appropriate feedback, fosters good intuitions (Narvaez, 2012). Experts at a task, have automatized their responses and therefore use different brain parts than novices would, to do the same task. Compared to novices who show increased brain activation, experts' information processing occurs more quickly and with less effort. Neuroplasticity permits us to develop expertise throughout our life story (Narvaez & Vaydich, 2008).

Neuroplasticity in the brain refers to learning, and, especially for adults where development occurs less automatically, the amplifying of learning becomes important. Participation enhances learning as it combines the social and behavioural axes of the brain:

- a) Vygotsky (Somekh & Lewin, 2005) highlighted how learning involves interactive engagement handing over cultural tools that can be developed. Learning involves dialogue with peers in supportive environments (Benzie et al. 2005). The **social-interpersonal context** of participation, allows the experience of learning to be neurologically multi-coded, enabling integrated cognitive, emotional and social functioning (Cozolino, 2013). In cooperation with others, the diversity of possibilities stimulates different perceptions and the adopting of new possibilities of action (Langemeyer & Nissen, 2005). "When we interact, we are participating in the long-term construction of each other's brains" (Cozolino, 2013, p. 15). The model applies this principle by facilitating real life projects for individuals with and of society.
- b) The brain is structured to learn best through active learning and **experiencing**; thus, physical activity increases cognitive learning (Mackenzie et al. 2014; White, 2005). As one participates in activities, the hearing, seeing, speaking and thinking involves the whole brain and influences neural generation and integration (Gozolino, 2013; Narvaez, 2012, Zull, 2002). Narvaez (2012) explains how participation physically builds neurological networks for the understanding and navigation of social space, establishing the unconscious triggers for appropriate actions in specific contexts. Through action, the multi-faceted complexities of environments are learned, and through practise one's actions become fine-tuned to respond to changing situations. Although initial conscious

choice, reflection, regulation and guidance is needed, frequent and consistent pairing of environmental events and internal experiences allows behaviour, perception and the pursuit of goals to become automatic (Bargh & Chartrand, 1999).

- c) Learning always happens in a certain **context** which directly or indirectly contributes to what is learned (MacKeracher, 2004). The active participation in these embodied experiences of a sense of community which resonate with subconscious networks (Narvaez, 2012). Life becomes safe to learn from, when a context is created which combines action and learning and mistakes are safe to make. Experiential, real-life learning, mirrors the process of solving the multi-dimensional, unstructured nature of everyday problems (Lee, 2019; White, 2005; Yu et al., 2015).

A real-life project can provide the ideal social, interactive context to learn in an inclusive way *how* to work with life's challenges.

Awareness and **reflection** expand learning and the application of what is learnt (Moon, 2013). Greenspan and Shanker (2004) explain that in order to be able to reflect – perception and action first needs to be mentally separated. This can only occur in an emotionally-regulated environment in continuous interaction with others. In such a space shared symbols develop to which richer levels of meaning can be added. As reflections translate into language, the sub-conscious is actively connected with conscious functions, the mental with physical, private with public and individual with social. This translation enables us to become aware. Siegel et al. (2009) describe the power of awareness and attention (focussed awareness) in this process, freeing the individual from pre-occupying thoughts and emotions. Awareness needs to start with what is already known and then move to how that is built upon (Culpin et al., 2014). Awareness makes critical thinking possible, which can integrate the nervous system's functioning to enable coordinated action. Holistic training hones these processes to become more sensitive and deliberate until they can become more automatic (Narvaez, 2012).

The skill of **mindfulness** assists a more holistic self-awareness. It has significant plasticity, and is easy to acquire through focussed awareness or self-awareness activities (journaling). Self-awareness assists recognising and responding to the emotions of others. Executive functions enable self-regulation and the application of awareness and self-

awareness. That is why it has been demonstrated to be especially important for effective social and interpersonal functioning (Siegel et al., 2009)

Neuroscience and neuropsychology have started to make important contributions to the interdisciplinary field of ethics and ethical development (Racine et al., 2017). Our ethical functioning requires more automatic, more intuitive and less conscious processes than had previously been realised (Bargh, 2013; Narvaez & Vaydich, 2008). These automatic processes were formed by the trial-and-error experiences of mammals and early humans (providing their genetic transmission), of ancestors (providing its cultural transmission), reflecting about others' experiences, and learning from own personal experience (Greene, 2014). Responsible parenting nurtures early ethical development. Childhood interacts with an individual's ongoing life experiences and their immediate circumstances to determine from which ethical disposition they will tend to act. The neural networks that are relevant to our ethical functioning are developed into adulthood and have plasticity throughout the life span (Narvaez & Vaydich, 2008; Schwartz & Begley, 2009; Tabibnia & Radecki, 2018; Valk et al., 2017).

Narvaez (2012) explains how **ethical transformation** takes place. Understanding the social influence on brain plasticity has unveiled how ethical functioning can shift and change beyond childhood and adolescence, for better or worse. Relationships that foster secure attachment build up the emotion systems that lead to the Ethics of Engagement and communal imagination. "Marinating the mind in emotional support and encouragement (and the hormones that go with them) is the first step towards modifying old ways into new, or helping the individual grow and change" (Narvaez, 2012, p. 51). Learning ethical functioning involves self, others and the external world. Thus, the brain is involved on a holistic level – the subconscious emotional experiences, the cognitive reasoning, the social context and deliberated action (Narvaez, 2012).

Stereotyping is attributed to an automatic neuropsychological route between the registration of environmental stimuli to perception, and explains why **societal inclusion** is important for ethical development. The purpose of the "environment-perception-behaviour sequence" (Bargh & Chartrand, 1999, p. 466) of the route is to free up the limited conscious cognitive capacities from having to analyse every unique situation. Exclusion causes the maladaptive organisations of stereotyping. Physical and meaningful exposure to develop

diverse relationships engages the unconscious processes, which facilitates bonds that can break down these organisations (Bargh & Chartrand, 1999). Self-control and **emotional regulation** grant individuals access to the time and processes required to distance their ego from challenging confrontations and to make more utilitarian (greater good) choices (Paxton et al. 2014).

Ethics not only manifests in people's moral behaviour, but ethically embodied actions also change persons' ethics. Robertson et al. (2007) suggest that by employing **reflection** based on personal experiences, as well as perspective taking methods (role playing) individuals can become ethically sensitised. "What one does is what one becomes" (Narvaez, 2012, p 150). In this regard, Gozolino (2013) discusses how learning, training and **practising** skills enable the personal qualities that are associated with Ubuntu Ethics (e.g., kindness).

Han (2015) examined how **effective ethical education** can be realised. His findings reflect why the approach used in this study had been successful. The focus was on real and everyday issues which people lived through. It included participating in practical activity-based endeavours in an autonomous decision-making way. Ethical modelling was provided in a group format which incorporated participant-initiated discussion and active and critical evaluation. This process facilitated the development of pragmatic wisdom for making appropriate ethical decisions. As Ubuntu ethics, the values embedded in the real-life activities became internalised and central to the participants' self-hood. When ethical functions are familiar and natural the relevant neural activity utilised more automatic pathways which needed less cognitive control. Han (2015) points out that behaviour changes significantly once morality has become habituated. This need for habituation points to the importance of holistic and long-term interventions in rehabilitation.

Social reinforcement by itself is not adequate for ethical development (Bandura, 1969). It requires ethical appraisal, motivation, replication and reproduction. A wide variety of sectors, disciplines and contexts have demonstrated that observing others' altruism, causes automatic feelings of moral elevation, which in turn, facilitates actions of care towards others (Han, 2015; Schnall et al., 2010). The presence of an **exemplary model** with ethical expertise boosts this process. A mentor can guide reflection and awareness to pay attention to knowledge, practice, skills and processes. In the project this process commenced with the in-reaching of society, the out reaching of inmates and the development of relationships.

The exemplary models were both offered by society but mostly arose from the PAR group itself.

Han (2015) points out that exemplary behaviour should not be too distant or far removed, as this can have an opposite effect. Student studies have shown that mentors who model attainable real-life examples have the most significant impact on improved ethical practice. Ethical modelling is most effective when it is close to the self, can be related with and authentically experienced and believed. The various models of Ubuntu application and the group's response to an ethical crisis, demonstrates how real-life collaboration with exemplary models had provide the necessary vicarious social learning, the moral elevation and the upward social comparison which enabled improved ethical functioning (Han et al., 2017). Narvaez (2012) argues that the development of ethical functioning in terms of sensitivity, judgement, focus and action, occurs on a novice to **expert** continuum. The development of expertise would require an immersion in experiences, examples and opportunities as well as deliberate understanding. **Apprenticeships** enhance explanations, interpretation and the integration across contexts. In this way a grounded ethical know-how is gradually built. Eventually an individual develops the capacity to provide a flexible and innovative response according to the situation's complexity. As in the case of the study, **groups** provide the ideal context for developing such ethical expertise. Their heterogeneity has the potential to (at the very least indirectly) employ the apprenticeship model. They create anticipation for growth and ethical excellence. They drive efforts for transformative change. Importantly, they can maintain the new behaviours to allow them to be practised. The constant practising of ethics, in the real world around us, involving one's relationships and everyday actions, allows it to become habituated (Narvaez, 2012).

Timpe (in press, p. 1) refers to agency as the creation of "causal control". There is a reciprocal and interdependent relationship between neuro-networks and culture. Brains and society shape one another (Evers, 2020; Vygotsky, 1980). Humans can thus be "active constructors of their own environments", specifically those that are social and cultural (Evers, 2020, p. 2). Narvaez (2012) refers to this individual agency - the choosing of activities for the purpose of self-transformation - as **active plasticity**. By means of active plasticity an empowered reflective self can utilise their attention to modify neural functioning (Schwartz & Begley, 2009). Paxton et al. (2014) provide evidence that rule/duty-based judgements (as associated with Ethics of Security, see section 6.1.1.1) are mainly associated with sub-

conscious, automatic networks. However, complex moral dilemmas which require the processing of a utilitarian judgement, involve the networks involved in controlled, reflective thinking. Agency is made effective by our executive functioning abilities, but is also dependent on the social environment (Timpe, 2016; 2019). Timpe (in press, p. 9) highlights: “once we see that human agency is socially embedded, we can work to provide ecological structuring and social scaffolding that can lead to better expressions of human agency”. A real-life project provides this rich social platform whereby effective agency can be actualised.

The literature evidence for the rehabilitation model highlights the following:

- that human brain plasticity allows for changes in adults;
- the social nature of plasticity and learning;
- how the adult brain’s plasticity and learning can be enhanced;
- the important roles of the brain’s state / arousal; participation, purposeful activity, longitudinal continuity, a secure social environment; a real-life context, everyday-experiences, reflective awareness of the process and mindfulness;
- how ethical expertise is developed;
- understanding the role of agency.

6.2.3 Practical Application and Recommendations:

In this section the study is referred to as a ‘real-life’ project itself. A reflecting overview is provided to demonstrate how the model’s components had ‘become real’, together with recommendations for each component.

a) The study as a real-life project:

As a real-life project the study attempted to maintain a balance between not being prescriptive but also to provide some clear structural elements: that the project was for the self-development of CMs (and the Cell Committee); that it was a PAR study which would also do pre and post-measuring of aspects including brain functioning; it included education in Ubuntu ethics, and the opportunity for the CMs to identify and focus on a specific project of their choice. An introductory stage involved interactive experiential workshops. This familiarised participants with research and facilitated the practice of executive functioning

as relevant to developing their own programme. The focus on participatory action's agency unfolded with a smaller core of people. However, their inherently systemic approach, directly influenced their environment as they were applying Ubuntu Ethics principles more consciously. Had the project been true action research (researching own practice/working as a community psychologist in DCS) we could have also followed any number of the variety of 'seedings' that had occurred, incorporating more people who may have had different interests and motivations: e.g., policy reviewing; an ongoing relationship with representatives from Justice; developing a philosophy project; utilising a case-study to address complex issues around medical vulnerability (e.g., continuity of previous care, communication, vulnerability, family contact, death, family support, distance); ongoing ethics education; research ethics training and/or a translation project. The PAR group had struggled and grown through the difficult stages of conceptualising, understanding and internalising a purpose, positioning itself in ethical, cultural, historical, social, and practical terms. By dealing with difficult challenges, it developed into the Ubuntu PAR Group which prioritised addressing substance-abuse in the centre with a multi-level approach (see sections 4.4 & 5.2). Into this space, persons continuously brought their stories, stories about how they were putting principles into practice in their individual ways, on different levels and in a variety of contexts. We shared problems and solutions, personal pain, resources, conflict, hope. It was a space where executive functioning was continuously active, monitoring the group's purpose, the current session, participants interactions and one's individual contribution. We practised our concentration, communication, confidence, leadership, management abilities and ethical functioning (see sections 4.4, 5.2 & Appendix 5.2). The participants impacted their environment (see Table 5.2 & Appendix 5.1) and took responsibility to initiate enabling change in the correctional centre system (see Figures 5.4.a, 5.4.d & Figure of Diagram 5.3.d).

Recommendations for Real-life Projects

- **The type of Real-life Projects which would be ideal:** Incorporating exemplary representatives from society in meaningful longitudinal projects with the incarceration environment has significant potential to use as a platform for rehabilitation of both.
- **Participation in incarceration:** There are numerous opportunities for inmates to participate in their incarceration – which DCS tends to use (see section 5.5.1). The

rehabilitation potential of these unfortunately gets lost. Officials would benefit from education to make the maximum use of such opportunities. With a participatory action approach, giving these activities more meaning, re-defining them as interventions and thus validating the already relevant projects – incarceration itself can be redefined. It may require a paradigm shift, but once conceptualised, innumerable ways in which society can be included and benefit becomes imaginable.

- **DCS Staff as participants:** Although DCS officials were actively involved in the study and encouraged to be so – they were not part of either the original conceived rehabilitation model, nor the research design. This is an important shortcoming to inform future studies as it became evident that it played a crucial part in managing the unforeseen risks and benefits that had appeared. DCS staff, as the first representatives of society, have a significant impact on incarceration and rehabilitation (Liebling et al., 2010). Therefore any ‘real-life project’ should include the participation of officials from the onset – even though this may complicate and slow down the process initially, it is likely to provide more sustainable positive outcomes.
- **PAR with DCS staff:** The former recommendation may be facilitated by utilising a project aimed at staff to pave the way. This inquiry demonstrates how useful it could have been to start a PAR study with the nursing staff. South African examples of such studies are emerging, e.g., PAR with police (Marks, 2009). This also opens up avenues for thinking about more ‘up-researching’, utilising PAR to enable collaboration between academics, policy makers and persons at senior management levels to improve services e.g., nursing in incarceration (Penrod et al., 2016).
- **“Small is beautiful: ...as if people mattered’ (Schumacher, 1973)”:** Although group numbers were important to some participants (also see comment in member checking feedback Appendix 4.15), large scaled projects can limit the quality of relationships. In the study persons benefited from sharing everyday changes. This also enabled the group to remain hopeful in a context where meaningful change is rare. However, keeping the focus relatively small needs to be balanced with the participants’ tendency to diversify (e.g., including more sections and cells). In this regard, a focus on spokes and several ‘linked’ projects can be useful and address the need to reach more individuals. Unique smaller cell / section / centre-based projects need to be balanced

with DCS national / regional projects – with the former getting more systemic acknowledgement and support.

- **Projects require a balance between providing a structured stimulating space and maximising agency.** The project provided a gradual shift from facilitating participation to becoming participatory agency. As the group took responsibility for developing their purpose, the meaning and possibilities of what maximising agency meant was discovered and started to gradually unfold.
- **Projects should be preceded by effective introductions, information giving and educational processes.** Effective processes involve the community learning from each other about the expertise they already have.
- **Significant time is required for group agency to be translated into a real-life product.** This is a responsive journey, an end in itself. It creates space where lives can be mirrored, experiences validated and processes internalised.
- **The real-life project is only the start.** The group's systemic application of helping the substance abusers would immediately have confronted them with new challenges, not only from the individuals but indeed the system itself. They would again need to utilise their executive skills, their social networks, emotional awareness, and experiential knowledge to continue their new journey and perhaps another spiralling development through the eight PAR processes.
- **Continuity needs continuous relationships.** Successful in-reaching from the community required personal contact making and relationship building. This spanned a 3-6 months period before their first contact with the corrections centre (e.g., bioethicists and the philosophers). Where I did not have the capacity to make personal contact and build relationships, it could not realise (e.g., research ethics lecturer, academic authors). As my involvement withdrew, so did the continuity of relationships come to an end (community contact with the centre, contact between conference presenters and academics). This finding aligns with similar experiences at my correctional centre where a four-year relationship-building assisted a Karate club to develop and organise competitions with the community, but ended once I phased out my involvement. Incarcerated environments require strong infrastructure and

relationships for interventions to become sustainable. Inherently, more systemic support is required to translate DCS policy (Department of Correctional Services, 2005) into joint working with the community.

b) Ethics

This project was initiated by ethics. Ethics as a concept gradually transformed from managing the vulnerability of the participants to formulating a PAR project about Ubuntu ethics. The more the process was being mindful of ethics, the more it transformed the process, the more crucial it became to the project. It slowed processes down, to make space for reflection (e.g., see section 4.1), defined the ideological stance of transformative research (see Chapter 3), it informed the steps and decision making (e.g., see sections 4.2.5.c & 4.3), and it became the vehicle to practise executive function with (e.g., see Appendix 5.1, 5.2 & section 5.2.2). Ethics was a conscious and deliberate matter which the participants were not only made aware of from the start (e.g., see section 4.2.2.2), but which was actively utilised and incorporated in the everyday tasks (e.g., using references, taking photos, planning a budget, using a venue, caring for each other). The group became empowered, learning about the difference between ethics, rules and morals – many found this the most useful aspect of their experience. When an item was stolen, the group ethically engaged with this real-life event to process it from multiple angles. By studying Ubuntu ethics, they re-connected with their own identity. Ethics were not just an abstract concept; it was connected with on a cultural and social level. It was processed into the Ubuntu pillars, and its practice was kept record of (diarised). Ethics made us equal – we were all learning, becoming, practising. We shared our dilemmas and our answers with each other. The participants subsequently developed unique and individual models for practising Ubuntu ethics in the various spheres of their everyday lives (see Table 5.2). The group thought about and positioned themselves according to the ethics in society. This was utilised to think about where, how and why things in our world go wrong. They could start imagining what to do about it. Importantly, ethics was also experienced in an unethical context and the resistance and exclusion which this brings. The group provided a safe enough format where each participant could contribute their individual knowledge to a process of ethical decision-making. The Ubuntu PAR group found their voice and purpose and started doing what was ethical, engaging in and with their community to change it (see section 5.2).

Recommendations for integrating ethics in correctional services and interventions

- **Adequate ethical education** should be an inherent part of societal and carceral environments as it is immediately relevant to everyday life practice in the carceral context, incorporates and develops all aspects of the brain, practises executive functions, involves social awareness and social behaviour, and positions the self within society.
- **Ubuntu Ethics** is of significant relevance and value for incarcerated persons in Southern Africa and the staff who work in South African correctional services. Adequate education in Ubuntu Ethics is inherently empowering in ethics.
- **The characteristics of effective ethical education** involve a participatory action approach with ethics being made real, relevant and concrete and allowing it to be practised. It includes exemplary models representing society. For DCS staff, the management of participants' vulnerability and doing participatory action research provide a fertile arena for learning and practising ethics.
- **Ethics education** should be an inherent part of DCS staff's education and ongoing practice, being the first level of representing society, exemplary role models to enhance ethics education and a source for rehabilitation. The significance of the nature of relationships between correctional staff and inmates to enable desistance has often been pointed out in studies (Burnett, 2011; Menon & Cheung, 2018; Weaver & McNeill, 2010). In this regard, an important starting point would be to identify, acknowledge and address the exclusion of DCS staff and the difficulties which this creates in their roles (e.g., resenting offenders being educated and perceiving them as getting access to a better future than they have).

c) Participation

Participation in the study occurred on different levels. It was prioritised from the onset in the way the study was introduced. Even a classic qualitative assessment was preceded by a two-way and creative preparation process. Smaller, break-away or sub-groups were used to maximise individuals' opportunities and abilities to participate, allowing for vernacular language-use and intensity in participation. A deliberate decision was taken not to exclude anybody from participation – the open group allowed individuals to join the process at any

stage of a meeting or of the study. The participants continued inviting people to attend, continued participation outside of the meetings, and facilitated indirect participation with those who were not attending. Participation included interactive teaching, regular feedback, active reflecting and, where possible, involved staff and members from the community. The process shifted from facilitated participation to participatory action agency, where the participation occurred from within the group, as the group, at an organic own pace, according to a developing agenda (see section 5.2). This development involved phases which gradually evolved from the group process in the way that was meaningful to all the participants (see section 5.2.1). It unveiled the various components and dimensions of community and society, reflecting its complexity. Various potential projects could have sprung from this (e.g., health case study; policy concerns) had there been a community psychologist or project facilitator available to assist in developing them. For future research in the correctional centre, one of the outcomes of this study is to translate and add guidelines for community research participants to the feedback which was provided to them (Tapela et al., 2009).

Recommendations for utilising participation in correctional service settings

- **Maximising participation** allows all of a person to become involved in interventions and even a more positive incarceration experience.
- **Participation occurs on many levels** and is not only verbal. Remain open and flexible with what works for whom, using various strategies to manage vulnerability, enabling a variety of tasks, approaches and projects. These can be channelled when people become more focussed, allowing individuals to find their best individual ways to participate.
- **Break-away/sub-groups** maximise choice and opportunity to enable more participation in larger groups. It stimulates executive functioning and interpersonal skills in small groups and develops confidence in the larger group.
- **Participatory tools** are important and helpful for effective larger group participation and can provide a variety of means to energize the group: e.g., flipcharts, utilising space, visual equipment, interactive games.

- **A balance is required** between smaller projects that provide more intimacy and depth and the tendency to measure the effectiveness of participation by the numbers attending. They both provide different information that can be useful in different ways, e.g., the latter may be an indication of an activity being of more relevance, being experienced as more communal or being enjoyed by more people.
- **Sufficient and flexible structure for participation** should include ample opportunities for open reflection and summarising. Developing the PAR process may need time, as more processing is required when the group is not ready to go forward as a whole.
- **Reflection** about the practical impact of participation, how it is experienced, and difficulties and problems are important for developing awareness and understanding. It helps to 'hold the story' for the group when frustration is experienced with the organic development of a PAR process. Actively linking events, offering theory and describing developments in terms of the direction of the process can all assist in providing more insight into and appreciation of the process. This may be captured by a timeline, pictures, story telling, and sharing memories, and is assisted by regular summarising.
- **Normalise effort and feelings of being lost** in the participation process, acknowledge negative experiences and prevent perceptions of failure and self-criticism.
- **Mindfulness exercises** preceding sessions can maximise individuals' access to their own resources and group participation.
- **Community psychologists, PAR researchers or project facilitators** could become active role-players to enable more participation in correctional services and increase the flexibility to develop various ideas to can answer different needs.
- **Over-researching** of incarcerated communities should be avoided by adhering to the framing principles of PAR and utilising guidelines which have been provided by communities (Tapela et al., 2009). It is recommended that similar guidelines should be provided *by people who are incarcerated*.

d) Society

As an ideal 'in-reaching' core relationship, Fikile and I represented different races, languages, age groups and disciplines. With this diversity, an emotional identification could be shared with more ease than if it had been only me. Our relationship served as a cog by which 'societal spokes' were 'brought in' as they were relevant. For the group, the benefit from these links was held together in the relationship with us. Even if one of us was not there, Fikile and I were representing each other. In the same way, the philosophers continued to be 'related to' in the interaction with me as the consistent representative. Questions about justice, human rights and Ubuntu were answered by a prosecutor and academic papers. An international ethics conference heard the participants' ideas in their own voices. Thinking about society and how to transform it, was done with philosophers. Through contact with society the participants experienced their validation, identity and their voice. They demonstrated agency in making changes in their local community. This included some members of DCS (although not necessarily in a sustained way): unit managers, disciplinary staff, corrections staff. Co-operative work was done with the psychological staff on a citizen project and the religious care staff on a moral regeneration day. The group's ongoing relationship with the social work manager was utilised to address substance abuse.

The following potentials are shared here as examples of representatives who could have been involved, if we had more capacity:

- Professional translator – there is ample opportunity to introduce translation as a profession and facilitating developing such roles in DCS (see section 4.1.1.3).
- Research ethics trainer – formal training can enable participants to represent incarcerated target groups on research ethics committees (see section 4.1.1.5).
- Ubuntu authors – especially the older participants felt that some of the ideas expressed in literature need to be processed further and wanted to discuss this with the authors (see section 4.2.1.1.i).
- Substance abuse NGO – on investigation an existing link appeared to have broken down due to a lack of support from the centre. If this can be sufficiently re-

established, the group could use their infrastructure to make the service more viable (see section 5.2.1.8);

- Nursing staff – the establishment of more positive relationships through collaborative working or appreciative inquiry was necessary to address ongoing health concerns (see section 5.5.2 & 5.5.3).
- Unit/section managers – the interest which was shown by some unit managers could be explored to see how both their and inmates' concerns could be supported further (see sections 5.2.1.3 & 5.2.1.4.).

Recommendations: including society to address incarceration's further exclusion

- **For successful reintegration into society, real inclusion needs to happen.** Society thus also needs to be included with persons who are excluded, incarcerated and especially on parole.
- **Some of the aspects that are important for successful community involvement are -**
 - **Considering people who are exemplary of society's best** as models. Persons who care for the universal values and are mindful of their own and others' morals, individuals and systems who are interested in putting morals and values into practice in ethical ways and who are open to learning and change;
 - **Reciprocity of benefit sharing** between participants and representers in terms of answering questions, giving information, learning from each other, receiving feedback and thinking together;
 - **Focussing on respect and dignity;**
 - **Ensuring feedback and honesty.**
- **Working towards continuity and exploring sustainability in the community.** Involving the community in an incarcerated environment, requires significant outreach, establishing trusted relationships and close collaborate working. One needs to remain mindful that the strong pressures of outside everyday life can easily overshadowed the

likely mixed feelings about working with DCS and responsibly manage these with respect for people's valued time.

- **Preparation is important.** Participants need ample time to organise themselves to get the most out of meetings. This would include them planning the event and to be clear about each participant's expectations. This would ensure their participation dignity, success and positive learning.
- **Continuity depends on relationships in the correctional centre.** 'Gate-keepers' need to be identified and relationships with them strengthened, secured and expanded into the network in order to ensure the sustainability of a project. Correctional centres do not expect projects to be sustained and need to be prepared for this. A simultaneous top-down and bottom-up process to formalise, review and communicate updates on a project will benefit its legitimacy.
- **Information exchange is important.** With the introduction of a project, a joint meeting with Unit Managers is ideal to get to know them, to exchange information and arrange visits to their respective units. In the context of a changing and hierarchical environment, that includes shift-workers and multiple formal meetings this can be facilitated by a monthly report which is made available to everyone, especially all the managers. For such a report to eventually be co-written by all participants would be ideal.
- **DCS would benefit from becoming more actively involved in reaching out to society and supporting the community to contribute to correctional centres.** This should be defined in the roles of the whole management and staff group. If it is only linked to a few staff members (e.g., Sport and Recreation), or specific functions (e.g., Religious Care or Social Care) – it is easily viewed as an encumbrance which is vulnerable to be obstructed in a secure setting.

e) Purpose

The importance of purpose seemed to manifest as a lens which focussed on different aspects and dimensions at different times during the project. Research itself defined an external purpose which activated persons to get involved and it provided structure to that

involvement. The purpose of transformation reframed the process to find and create its own purpose/s. Thus, purpose was sometimes a means to an end, it created the platform, or set the stage onto which participants could meaningfully try, practise, interact, until we created purpose as a product or outcome. To develop skill in Ubuntu Ethics, to expand Ubuntu ethics, and to cause positive changes in the correctional centre through Ubuntu Ethics, emerged as the main purposes of the Ubuntu PAR group. This eventually 'zoomed in' on addressing substance abuse. Behind the lens, was the motivation to cause positive change and to make a difference. Skills development was continuously reinforced as individuals reported everyday achievements (which took on a variety of forms) and continued practising: *"he wanted to hit on me, he said 'hey, you are disobeying'cool everything down, what I was saying, need to practise. I control myself, I breathe in, I breathe out. Because I wanted to react. [Group: laughter] I just breathed in, I breathed out, I let it go."*

Recommendations for focussing on purpose

- **Research is a powerful mechanism for providing purpose and to also generate purpose.**
- **A balance** should be sought between providing purpose and finding purpose; between purpose as a means to an end, and as an end.
- **Learning and developing** are inherent purposes – there should be an awareness that participants are also learning about the process of learning. Learning is a journey which often requires a shift from individuals expecting themselves to 'get it right' to a group reflecting in order to understand 'what went wrong' and experiencing learning together. To ensure 'errorless-learning' participants need assistance with rephrasing difficulties, getting things wrong, challenges and obstacles as information gathering and learning opportunities.
- **DCS staff would benefit from education to become self-aware of their role as societal models and about what they are 'teaching'**, how they are teaching and how a correctional centre is a place of constant learning (for better or worse).
- **Learning through participation.** Just as engineering students' professional ethical development is best shaped by their active involvement in their Institutional Review

Board (Han et al., 2017), incarcerated persons' rehabilitation (and that of DCS) should benefit from their participation in the corrections process on numerous levels (including governmental) - learning what is important with the purpose of making it work (i.e., the purpose of punishment is counter-intuitive to engage in).

f) Awareness

The study's ethical issues, initially raised by the vulnerability of the target population and transformational research in Phase I Ethical Research, required constant reflection (see Chapter 4), not only by me as the initiating researcher, but also between Fikile and me, people from society (e.g., conference attendees), but more so with the participants, thinking about the project, the purpose and processes. In Phases II and especially in Phase III this occurred before, within and after sessions. Reflection was also utilised as a formal process. From the onset, cell monitors were requested to think about their roles, their needs, the problems they faced (see section 4.2.2). Observers were appointed to reflect about sub-group processes. Groups were asked to reflect about facilitators. Although it could never formally be established, review sessions were held to reflect about the overall research process (see section 4.2.2.2.b). In Phase IV the group clearly expressed the value of reflection and built this into their way of working. The narration of the eight PAR processes (see section 5.2.1) shows how these reflections became central to steering the process of the PAR. Models of Ubuntu Ethics were being developed, which were often related to. Reference was made to the real-life application of values and principles and the difficulties people were experiencing on a day-to-day basis. Reflection assisted the group to position themselves more systemically and enabled a focus on their current context, where they could make a difference. Reflections often referred to how the group was experienced, to brain functioning and to research itself. Within the group context a space had emerged where persons could express their awareness of self, their awareness of other, of context and their experience of change. Awareness assisted participants to understand effort; there was nothing 'wrong' with one when a task was hard, it was hard because the nature of the task requires the use of effort. People started reflecting spontaneously that they were using their executive functions: *"Chair: Because when we are reflecting, we are using, as we said last week, we are using the front part of our brains, which eats up a lot of energy. That's why you were so tired last week."*

Recommendations for involving awareness in correctional services

- **Opportunities for developing awareness and reflection should be maximised.** This assists learning, develops the executive functions, normalises effort and stimulates agency and control. This could include verbalising conscious awareness about how time / space is being used, and what the ‘becoming aware of’ is about, experiences, realisations, asking for feedback. Awareness can be incorporated on different levels, including the brain, psychological processes, group processes, DCS culture and societal issues.
- **Journaling / keeping a diary** of efforts, attempts and changes is useful. This is the case even if some only use it on a verbal level, to reflect back on their past day / week through recall.
- **A deliberate focus on a non-judgemental approach** helps to validate and regulate emotions, to understand actions and to think about and manage consequences.
- **DCS as an organisation would benefit from more reflection about its purpose and its role and how to facilitate the same in employees and service users.** It would benefit staff to develop skills in reflection and to know how to facilitate reflection with inmates.
- **Regular education in neuropsychology could be provided** to increase staff and inmates’ awareness of brain and cognitive functioning, the impact which this has on everyday tasks and how difficulties can be managed and compensated for.
- **Society should develop more awareness about the effects of exclusion and inclusion, become more conscious about why we punish, about what works in rehabilitation and that incarceration does not work.**

g) Agency

Just as the PAR process, agency proved to be circular, happening of itself and gradually routing its unique direction. It only became appreciated as a core construct of the model with the neuropsychological interpretation of the data analysis. Until this point it was taken for granted as an important principle of the ethical management of vulnerability, the transformative approach, empowerment and PAR methodology. From the onset the

participatory approach of the research recognised agency (see sections 4.2.2 & 4.2.5). This was reinforced by maximising the opportunity for choice, utilising multiple break-away groups and allowing the process to be responsive. Agency was centralised with the PAR in Phase IV, driving the group process, creating the agree-to-agree ‘cloths’ and shaping its ‘garments’. Many did not feel comfortable with this, and left at that stage, but others joined. The core group remained consistent and had worked jointly for eight months when they seemed to reach a pinnacle, formalising themselves and defined their own project together. This demonstrated the unforced gradual development of agency as it emerged from a relatively safe, healthy, stimulating, ethical, positive, supportive, honest, continuous, sustainable, consistent and trusting environment. The time it took may be specific to the corrections environment, the diversity of the group, the number of sections that were involved, and the facilitating researcher’s demographic dissimilarities from the rest of the group. It may also be demonstrating its organic nature, that this change was *real* - of itself. The consistency of the core group reflects the commitment and sense of responsibility from the participants. This group agency should perhaps be differentiated from the self-agency. Relatively early in the PAR process the group consciously owned the translation of principles into practice (see Figure 5.4.a “Family Day is Ubuntu Day”). Leading up to this point, and especially from then onwards, individuals continued creating different models to impact their respective environments (see section 5.2.1.3). Although framed by the groupwork, the uniqueness of the individual implementations would imply that these had occurred spontaneously. It seemed that the agents became aware of their agency as they started communicating with purpose in the social context. It often seemed as if it was only once persons were participating in the group, that the realisation of an ‘Ubuntu story’ occurred. In the moment of sharing it, as it became conscious, they remained the active agent that would often continue to write the story (see section 5.2.1.1 & 5.2.1.8). Some agents were inherently more gifted, and could ‘hold’ the story of the whole group (see quote in 5.6). Others were more dependent on the social context to initiate their agency, and often it was only when the feedback was asked for that they realised that their story had continued to be written (see section 5.2.1.5 & 5.2.1.6). In this way, the larger narrative of the project was also a conglomeration of many stories (and endless subconscious ones).

Within the PAR process, self-agency also occurred automatically. It was mentioned as an important theme from the onset and the ability to be able to ‘rely on yourself’ was

valued. *"I am passionate about that because I believe that our problems it is for us to solve our problems. Where we stay in our cells, where we stay in our sections, let me make this example."* Agency started with making the choice to join. It also shifted between working on oneself versus taking responsibility for the project. The agency referred to *inside* and assisting *outside*. *"Nobody but yourself can change."* Many examples were given of inmates' perception of agency: the expectation to develop and utilise own skills, to create jobs, run small economies in the centre, link with community resources, have social capital, develop good relationships etc. Participants took agency about rehabilitation: they did not only wanted to provide answers to the authorities but also *"we need to come up with a strategy to increase the intensity of programmes for (repeat offenders)"*. In their participation, they pointed out each other's strengths. The group was used as a resource *"call other members of the PAR group to talk to this person. Who better to install those...apart from the PAR groups within the sections? So, we can call upon each other for support"*. A shift was made from wanting 'more education about Ubuntu' to acknowledging *"learning from each other's actions, learning from doing. I once saw some teachers in here who said, 'each one teach one'. It takes us as inmates to teach one another"*. Initiative was taken to work independently to write up a case-study. Agency was taken in the everyday matters of the group, e.g., making copies and beautiful cards for each important occasion in the study's development. Agency involved executive functioning, making decisions, planning and organising, arranging venues, problem-solving, inviting officials, arranging for electricity, speakers, a microphone.

The following quotes demonstrate the pride in agency -

"We are the ones who said to Janeen, Ms Prinsloo here, can you please get us some academics from outside who are writing about this Ubuntu whereas they do not understand the Ubuntu."

"We are also trying to get other people from outside, excluding the floor and the guys from the (University). Why are we doing that? We want to re-educate people about Ubuntu. I don't have to be an academic to teach somebody about Ubuntu. Because I am talking something that is in me. It took us as South Africans more than 300 years to defeat and end apartheid."

Although a strong creative group agency had eventually developed – this would only have been a start. Participants were still dependent on the project's legitimacy to take ownership of time, to have access to space and the mobility to reach each other. Although they had intuitively tried to transfer this to the social work manager – it would have remained vulnerable. Fine and Torre (2006) refers to how PAR elicited emotions of anger in

the realisation of injustices when one realises that the research can communicate with the outside world, whilst little will necessarily change inside. The PAR Ubuntu group had many odds against them: the practical reality that the social services are separate and not easily accessible, the officials' suspicion of and resistance to inmates showing initiative and the ever-changing environment of the correctional issues of management, transference and politics. Az's story does however reflect the resilience of the agency of some individuals. Despite the context in which he lost his social support, he had not hesitated to introduce what the group had stood for in his new environment and had already started making a difference. By the time I visited another of the transferred elders, he too had met with a former group member and started an informal 'Ubuntu Group' with one more individual. He asked me to let the group know that he was happy where he was (he was too pained by the officials' disrespect of him, transferring him, to want to return). This may be a testimony of the value of Ubuntu itself. Being an inherent part of culture and identity, Ubuntu empowered in a tangible and pragmatic manner. In some way it is also a testimony to these specific individuals. Not everyone would have had access to the same internal resources and empowerment to overcome such re-exclusion with initiating re-connection. We would have had to reach them to re-invigorate their connectedness and some would have required the assistance of an infrastructure around them. These two elders - as experts - were able to use the group experience to do this themselves. A real-life project, provides the opportunity to meet different needs according to their diverse levels.

Recommendations for developing agency

- **It is recommended that the use of creative arts** be considered to further facilitate agency. This may especially assist persons who may express themselves better or be more receptive through other modalities.
- **The necessary scaffolding needs to be designed into a real-life project** to ensure the development of agency, by maximising participation and choice. Varying between smaller break-away/work-groups and larger platforms provides more access to individuals' preferred language of communication. With the groups focussing on different aspects, more inter-dependence, co-operative working and responsibility is created.

- **The impact of the physical environment on group functioning needs to be considered.** Rather than forcing an externally set plan, it may be more conducive to adjust activities to make the best use of each environment (playing practical games, using smaller groups, or working with the large group, intimate discussion, pairing up).
- **All agency involves risk. Especially in PAR with vulnerable people this should be monitored closely. Facilitators should discuss the risk with management beforehand – especially the risk of change and the response of the system resisting change. Although the exact nature of this cannot always be foreseen – good and active relationships with the staff are very important. Research facilitators have to take responsibility to manage the risk where-ever possible (e.g., we made an active point of visiting persons who were transferred).**
- **‘Open boundaries’** provided a good balance to the group being able to function in the unpredictable context. We always started and ended at specific times and participants were free to join and leave whenever they wanted to. Discussions occurred outside, within and after sessions. People informed each-other about what they were doing and sent their apologies out of courtesy. Although there rarely was a specific agenda, the group developed a useful structure which involved reflection and often included a mindfulness exercise.
- **Legitimacy is very important in a correctional centre.** At first this is automatically provided by the research. Ideally, projects should be ongoing and continue to evolve as the participants’ agency becomes stronger and the group develops creative agency. From the onset of the programme links need to be made to ensure the sustainability of the project once the research is concluded.
- **DCS should develop a formal way to provide infrastructure to recognise pro-social inmate groups and receive education to understand the importance of agency in rehabilitation and their role in stimulating and shaping such agency.** Ideally, such groups should be joint ventures between DCS staff and inmates. If all DCS staff are expected to develop such a repertoire, it could allow for an organic match between persons’ interests, strengths and talents to assure sustainability.

6.3 Rehabilitation as Participation in Bakhtinian Dialogism

6.3.1 Integrating Interdisciplinary Principles.

As set out in the literature review (Chapter 2), demonstrated in the landscape of results (Chapter 5) and discussed in this chapter, positioning PAR as the ‘real life project’ provided an overall integration across these disciplinary overlaps. It had addressed executive functioning (e.g. see section 5.2), social inclusion (e.g. see sections 5.1.3 & 5.2) and the ethics and rehabilitation of both individuals and society (e.g. see section 5.3.1 – 5.3.3). This positioning is summarised by Figure 2.1. As a bio-social meta-theory TET provides a sufficient theoretical platform to interpret the findings with. It not only explains the complex neural-individual-social-ethical-behavioural relationships represented by the three disciplines, but also how their overlapping principles could be realized. Figure 6.1 represents the components that had been identified to enable this outcome and thus the building blocks of the Integrated Model. The narrative visualisation provides an indication of how interlinked these components are (also see section 6.2.1). The following summary assists the reader to understand the model in terms of the three integrated disciplines:

As previously discussed executive functioning demonstrate the important connection between neuropsychological and criminological factors (e.g. see section 2.4.1). This is mostly realized through the interaction of the model’s two MECHANISMS (6.2.1.2) of *ethics* and *participation* with the ELEMENTS (6.2.1.3) of *awareness (reflection)* and *purpose*. This study has not only illustrated the relationship between practicing ethics and executive functioning but also how the development of both (see sections 5.3.3 & 5.4) and is stimulated by participation with awareness of these functions and the purpose of their development (see section 6.2.2.).

The importance of social inclusion has been identified as an overlapping theme in neuropsychology and community psychology (e.g. see section 2.4.2). From the BASIS of a *real life project* with exemplary members from *society* as one of its ELEMENTS, the necessary security and temporality was provided (see section 6.2.2) to facilitate such inclusion to be developed over time toward becoming integrated and meaningful (see section 5.2 and 5.3).

Critical theory addresses the intersection between criminology and community psychology requiring normative engagement with vulnerable relationships between individuals and society and the rehabilitation of both (e.g. see section 2.4.3). This is mostly captured in the Integrated Model's MECHANISMS of *ethics* and *participation* with the ELEMENTS of *society* and *agency* (see section 6.2.1). In this study 'the other' could be experienced from a position where the agents were empowered to discover and use their freedom to become co-creators of transformable environments (see sections 5.2.1.8, 5.2.3 and 5.3.2).

The study thus concludes that PAR can integrate the principles of neuropsychology, community psychology and criminology. This is done by utilizing real life projects as a basis upon which the mechanisms of participation and ethics interplays with the four elements of society, agency, purpose and reflective awareness as has been described in section 6.2.

6.3.2 Criticism of the Original Model

A limitation of the study was that it had not included the DCS correctional centre's infrastructure and staff in the original study design, although it was done informally and often initiated by the participants. A consequence of this was that it did not engage the correctional centre context to prepare for any changes. The anti-social elements of the environment which resisted change exposed the vulnerability of the participants and had put them at risk. Participation of DCS staff is highly recommended to provide sustainability in the hierarchical context. The need to incorporate DCS staff was indicated by the participants from the onset of the project and becomes one of the main findings of the study. The study had to focus on keeping the well-being of the participants central and on managing their vulnerability. This was done by involving the senior management and working with staff to prevent transfers from occurring, and when unsuccessful, an attempt was made to follow up with individuals at the correctional centres where they were transferred to. Participatory work in correctional centres will be more effective and protective of vulnerability, if it commences from the management level, working through the correctional staff hierarchy to include relevant staff-groups to own the study.

Although executive functioning is important for effective social functioning, the original model had not conceptualised its role in ethics, agency and enabling agency in ethics. It also did not consider that ethics itself can involve the practising of executive

functioning and agency. Although important, executive functioning and agency are sub-structures of rehabilitation and dependent on interpersonal relationships, the environmental context and the development of both unconscious and conscious processes. In the context of *What Works for Whom*, the study's original focus on stimulating executive functions per se would be more important in younger populations where those functions are in the process of being developed.

Ethics was indicated as a central construct integrating the what, how and why of our actions. This initiated more questions about the ethics of society incarcerating and excluding. The understanding of the neuropsychological functioning of ethics allows us to also start understanding ourselves as excluders, punishers and incarcerators. Neuropsychology can help to understand society and to illuminate those aspects which require rehabilitation. In this regard Ubuntu ethics not only provided an empowering way to translate ethics into behaviour, but its inherent systemic impact – being initiated from a point of engagement and inclusion - revealed and confirmed its ability to enable holistic and therefore more sustainable changes.

6.3.3 Limitations of the Current Study

Due to the nature of how a real-life project unfolds, many of the limitations have been referred to in the preceding chapters.

The study was introduced to the CMs of a particular correctional centre's respective units who were invited to volunteer their participation. The whole study spanned a year and a half during which time participation remained open. Several meetings a week (up to three) were held for a five month period during the initial stages of the study to ensure sufficient stimulation of the executive functioning abilities and Ubuntu Ethics education. This was followed by weekly meetings for the following eight months which focussed on a PAR process. Prior to the study a month was used for engagement and two months for its conclusion and withdrawal. The withdrawal was influenced by contextual issues and although it spanned over some time, it had not occurred in a very structured way. The 'action research' part of this study could not be applied at my actual work base, which limited the project's longitudinal potential. The study was conducted in my capacity as a psychologist of DCS (therefore in uniform) at another institution, gave both legitimacy and 'outsider status' which affected the project's positioning and identity.

PAR limits

The development project for CMs and ethics education were not chosen by the participants, but offered to participants, based on experience working in DCS and in collaboration with a representative from the community. The context of the study prevented involving participants in analysing and formulating the findings. This would however have been ideal to do in the context of a real-life project. Two participants were involved in member checking the methodology and relevance of the findings and recommendations.

Methodological limits

For the qualitative aspect of the study, apart from the initial session when extensive fieldnotes were made, short structured field notes were recorded after sessions. More elaborate reflections were written after a group of sessions had been concluded. Only the PAR group sessions of Phase IV were fully transcribed for the analysis of this process.

The quantitative assessment was not conducted according to standardised measures but adjusted to the context of the study. Not enough people participated in the quantitative pre and post-assessment to compare the participants with a control-group. The participants' attendance was also relatively consistent, preventing the use of an internal control group (i.e., comparing those who attended more with those who attended less).

Intervention limits

The focus on inclusion developed a model which answers the need for more holistic rehabilitation approaches. The study therefore does not answer the call for more specification in rehabilitation interventions (Farrington et al., 2019). However, it does identify the potential of real-life projects developing 'spokes' to meet the interests and needs of individuals / sub-groups.

6.3.4 Sketches From Outside

Although the context of the current study prevented longitudinal follow-up, reflecting on parts of the ongoing stories of three released participants, not only provides negative

case examples, but also points to the important limitations of the model and the holistic nature of rehabilitation which is required.

h) AB – starting a new life, but not getting far enough from the old one

AB was released close to where he had previously been involved with gangs. Although he still had contact with some of these individuals, he managed to get good employment and was supported by a stable relationship; he had no other social support. Out of fear of being implicated in ongoing gang activities in his area, he managed to be promoted to a new employment somewhat further away. This was not in time, as a ‘gang war’ had broken out with the police. He was arrested and is still awaiting trial as a remand detainee. Shortly after his arrest, we were able to provide testimony and evidence of his active participation in the group. The sustainability of the project had remained in terms of him sending a message, a year later, via his girlfriend. He wanted us to know that he had an important leadership role in his cell and that he has continued to apply the principles.

In AB’s context, having good employment and a stable relationship were not sufficient for a successful parole – his ongoing exposure to former gang members had made him extremely vulnerable, as in the case of Az.

i) BA – self-transformation and ongoing exclusion

BA has a post-graduate qualification and speaks 6 languages. Two years after his release from incarceration he remains unemployed. He experienced his criminal record as a significant obstacle: *“the Criminal Record disadvantages me in many economic opportunities. In some areas, people label you without giving you a chance to explain yourself and tell them how you can contribute to their organisations, or their lives”*. He has a resourceful family, good family support and a positive social network.

“They embrace the new me. I view and do things differently. The PAR, particularly the Ubuntu Training has reminded me who I am and where I am coming from. It has evoked the inner me, and how I was raised in the caring family and community at large. I even voluntarily assisted an NPO with the distribution of food parcels to the needy during the Lockdown. Moreover, I never expected anything from my volunteer work. Those are the results and contribution of PAR, that includes Ubuntu Ethics Training. The new behaviour has earned me trust in my community.” “My humbleness makes me more included in the community. I participate in areas where others view as reducing their social status.”

The importance of the Ubuntu Ethics education is reflected in BA's expression of identity: "*prison or any situation should never change who I am*". This seems to have provided him with resilience to reach out, contributing to his community. His experience of exclusion on different levels highlights the needs for a rehabilitated society.

j) AC – 'the pains of desistance'

During the study, AC was passionate about his family and about being a good father for his teenage son. Since his release he has pulled away from his local community – fearing exposure to persons who had been part of his previous criminal lifestyle. He seems to present an example of the 'pains of desistance' (Nugent & Schinkel, 2016). Not finding employment and occupation, he has difficulty engaging with an alternative social network. Even when reached out to, he seemed to lack confidence, kept to himself, and showed signs of depression. With finalising this document, Fikile informed me that AC committed a minor offence, which resulted in his parole being revoked. This points to how much rehabilitation needs to focus on community integration, pro-social capital and employment. *What 'really' matters* is what happens outside incarceration. Literature reports a gradual reduction in criminal activity as a normal 'path of desistance' (Bevan, 2015). Through the study I am now aware how much AC's re-incarceration would have confirmed the fears for failure that were expressed, in particular the fears expressed by the Ubuntu PAR group (see section 5.6). This also provides an example of how inmates may benefit from access to criminology (referred to as '*statistics*' see section 5.3.1). As was mentioned, understanding the path (and pains) of desistance, could help persons who have offended to externalise crime (see 5.2.1.2). Focus is required to assist persons who are incarcerated to be better prepared for release, to be protected from the sense of failure and to be given tangible hope. This can be done by focussing on inclusion.

In summary, these three examples reflect Richards and Jones' (2011) findings, showing how barriers that are of an economic, legal and social nature provide structural obstacles to desistance. It demonstrates the extent to which rehabilitation of both society and individuals is required to change anti-social conduct in both.

6.4 Reflection and Summary

An initial discussion about the study with Jacqui Akhurst at York St John's University made me aware that Vygotskian theory would be able to frame the integration of the three disciplines: criminology, community psychology and neuropsychology. Dialectic learning highlights our inherent dependence on social interaction for development. Vygotskian theory would explain the impacts of exclusion and how participation with society can therefore assist desistance. I expected a 'Vygotskian voice' to end the study, providing the theory which explains why/how PAR changes brains. Immersing in a real-life process with many co-travellers caused many stories to be experienced and re-told, re-experienced and reflected upon. Temporal, conceptual, practical, spatial and emotional landscapes, and landscapes with temporal, conceptual, practical, spatial and emotional dimensions were revealed. The human brain can instantaneously integrate and capture such complexity, and share it with others by participating or telling a story (or in music/a picture/a play). I have come to understand how my attempt to work with real-life contained the intersection of individual and society, its fluidity and tension, unity and diversion and endless similarities and contrasts. The theory of another Russian, Bakhtinian dialogism, has helped me to frame this complexity. Rehabilitation requires the many voices, of individuals, actions, from findings, about stories, momentary reflections and ongoing conversations to relate and to listen and to converse with each other. It is the working-with, the collaborative attempts, the listening and joint reflecting which makes the difference. The ongoing practising of society's inclusion, our living and sharing in the complexity of real life develops and evolves us. I am because we are.

Rehabilitation that incorporates ethics provides a holistic multi-faceted process which involves neurological, psychological and social elements that also has to address the social-political-economic reality in which it occurs. Participatory action real-life projects provide the opportunity to integrate the evidence base from various disciplines, the voices from participants and the involvement of society. Through participation, change can be stimulated, facilitated, shaped and established on internal, interactional and systemic levels. Ethical participation provides the transformative impact of such projects. It requires the elements of *society* to socially include, of *purpose* to direct, of reflective *awareness* to become conscious and *agency* to empower. Both inmates and society need to participate in

reciprocal transformation for such change to be sustained. Within the limitations of the study, the integrative model demonstrated participation as a meaningful intervention and highlighted the inherent systemic and holistic nature of rehabilitation. An ethical real-life project is not an answer but can be an efficient 'voice' in ongoing dialogues that consider and focus on individual needs, healthy contexts, supportive environments and an ethical society. Rehabilitation involves an ongoing participation in dialogues from the landscapes of our humanity.

*Imagining a world that is
"less ugly, more beautiful, less discriminatory, more democratic, less dehumanising, and more humane."*

Donaldo Marcedo referring to Freire's own words in his introduction to the 30th anniversary edition of Pedagogy of the Oppressed.)

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APPENDIX 1.1

Potential Real-Life Projects at Correctional Centre Work base

(These could all be assessed for continuity, executive functioning practice, pro-social stimulating interaction, sustainability and employment potential)

Karate-club	<p>Inmate out-reaching: re-connecting with previous community recourse to problem-solve and re-establish the relationship. A registered club exists, people are grading and attempts are made to participate in competitions. Following release there can be continued involvement with ‘mother-club’, organisations and competitions. A pilot study with 2 members showed executive improvement following a year. Members have to practicing life-skills & active problem-solving in the day-to-day running of their club. Released members could eventually start and run satellite clubs that can generate an income for them. <i>Further potential:</i> assistance to SRAC to keep to targets for the year plan e. g. three competitions and two gradings; get sponsors from community clubs; organise Mess Hall to make a profit when competitions are held; get programmes/activities/achievements publicized; assist released members to open their own clubs in the community.</p>
Chess-club	<p>Inmate out-reaching: contact with CASA, who had previously visited & registered a club, providing equipment, but current problems with access to this. This is a well-run club in one unit with a good plan to market chess as a rehabilitation intervention. It has exceptional potential for stimulating improvement in executive functioning. The running of the club requires practicing life-skills & active problem-solving. <i>Further potential:</i> establishing the club; having the large three-dimensional equipment made (fold up walk on board, board pieces are to be made from paper mash); competitions; University students doing research on the benefits of the club, starting youth clubs in the community</p>
Coaching	<p>Inmate out-reaching: inmates identified the coach in a news-paper article and contact was made with her. Two sessions were organized with a leadership group. <i>Further potential:</i> assistance to the service provider to develop a service and possible training which can be rolled out and become self-sustainable.</p>
Toast Masters	<p>Inmate out-reaching: contact made with toast masters' trained person following magazine article, awaiting follow-up from s. <i>Further potential:</i> assist identification, making contact with and utilizing potential service providers; facilitate individuals ‘goalsetting in terms of personal development.</p>
Art Project	<p>Inmate out-reaching: contact with a from township Art Centre for workshops in preparation for an Art against Substance Abuse Day. Community in-reaching followed from the Art Centre to provide more input to a unit where there is a big need for structured programmes. Initial talks with municipality, the service provider was held. Municipality is already a service provider. <i>Further potential:</i> assist the service provider to develop a service with the section, identification of needs which can be addressed by Art, market the art being done, develop an Art Gallery in the centre, fundraising for Art Material</p>
Library Project	<p>Facilitated Partnership: planning to re-start the library in one section. A government initiative is also marketing library facilities in centres. Engagement with the officials of the section. Current books have been listed, problems discussed and system developed. Venue needs to be identified and prepared. Has potential for in service training and job creation for potential librarians. <i>Future potential:</i> assist to plan the training of the librarians, more donations of books and the necessary material, involved municipality librarians in out-reaching, plan the introduction and public launch of the library, monitor the impact of the library, potential community work placement for people who are released.</p>

Other: Textile skills (out reach): design and clothes making (in-reach); HIV services (in-reach); Textile project: industrial bags (in-reach); Computer laboratory (out-reach); Newsletter (out-reach), Aerobics training (out-reach), Beading project (in-reach); Drumming; Leadership Skills; Localized Inmate Organizations.

APPENDIX 4.1

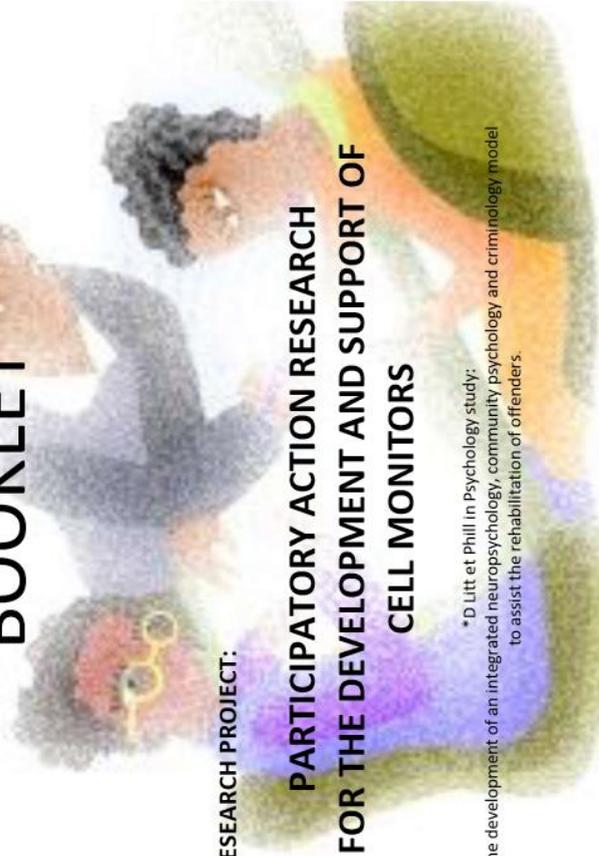
Information Booklet Extract (copy)



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INFORMATION BOOKLET



RESEARCH PROJECT:

PARTICIPATORY ACTION RESEARCH FOR THE DEVELOPMENT AND SUPPORT OF CELL MONITORS

The development of an integrated neuropsychology, community psychology and criminology model to assist the rehabilitation of offenders.

Primary investigator:

Janeen Prinsloo, MA Clin Psych Clin Neuro Psych Post Grad Dipl Appl Crim, Pen (Clinical Psychologist)

Promotor:

Prof Martin Terre Blanche



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SOUTH AFRICA



PAR (Participatory Action Research) PROJECT INVITATION LEAFLET

All Cell Monitors of Units A, B, C, D and E are invited to kindly assist in a **research project**: It utilizes a participatory action way of working to support Cell Monitors with the challenging roles they have.

This is part of a **bigger community psychology project**: We want to find out what the individual and social benefits might be for offenders to participate in a project where we are working together and involving the community. We are specifically going to look at changes in thinking and social integration of both the offenders as well as the community volunteers. There are many levels of involvement in the project and, **as an inmate, you can choose HOW involved you want to get**:

1. **Research participants**: ALL Cell Monitors are invited to answer some questions and do some exercises before and after the project. This is to find out if there has been any changes in people's thinking. (Maximum of two days now and again in a year from now).



Cell Monitor Group: You will be working in partnership with fellow Cell Monitors to realise collaboratively identified goals for the development and support of Cell Monitors. (Tue / Wednesdays)



3. **Steering Group**: You will be working work jointly with the psychologist to share responsibilities to plan and organize the project to run smoothly (e.g. caring for equipment). (Thursdays)



4. **Representative Peer Review Committee**: They have been selected by their unit, to provide critical feedback to the psychologist. They continually review the project's accessibility to enable participant's autonomy. (Monthly)



5. **Ethics Training**: Participation in formal ethics training workshops (Weekly meetings Tue/Wed)



6. **Research Ethics Advisor**: The most involved level. If you pass, you can become acknowledged as a Research Ethics Community Advisor. This role can be used to advise other researchers who want to do research with offenders.



Refer to information Booklet for available image references



PAR (Participatory Action Research) SUMMARY LEAFLET

This study wants to find out if a 'REAL LIFE PROJECTS' can make rehabilitation more effective by using interventions to change people's thinking abilities and assisting their social integration.

'REAL LIFE PROJECTS' link to everyday living.

'REAL LIFE PROJECTS' involve the community in some way. This project will involve volunteering experts from the community to work collaboratively with the participants. It includes research ethics trainers and potentially ex-offenders and psychology university students.

In 'REAL LIFE PROJECTS' the participants play a role in the history and future of the project. The clear aims and goals belong to those who take part. The goals are achieved by practising thinking skills that are important to be effective in society (such as planning and decision making).

A 'REAL LIFE PROJECTS' hopes to provide continuity and sustainability from inside to outside incarceration.

The larger real life project "PARTICIPATORY ACTION RESEARCH (PAR) FOR THE DEVELOPMENT AND SUPPORT OF CELL MONITORS" also includes smaller projects. This is to maximise participants' choices.

Cell Monitors from Units A, B, C, D and E are invited to choose between six levels of involvement.

These choices are flexible and can be changed at any time. They are also only defined to give people an idea of what to expect as THE PROJECT CAN BE CHANGED BY THE PARTICIPANTS AS IT DEVELOPS:

1. **Research participants** (completing the beginning and after measurements)
 **Cell Monitor Group Participant** (Working collaboratively towards identified goals)

3. **Steering group**: (Sharing planning and organising responsibilities)

4. **Representative Peer Review Committee**: (Provide critical feedback about the project)

5. **Ethics Training** (Participating in formal ethics training workshops)

6. **Research Ethics Advisor** (Being trained as Research Ethics Community Advisors)


Ref. No: PERC-16003

APPENDIX 4.2
Ethical Clearance Unisa



Ethical Clearance for M/D students: Research on human participants

The Ethics Committee of the Department of Psychology at Unisa has evaluated this research proposal for a Higher Degree in Psychology in light of appropriate ethical requirements, with special reference to the requirements of the Code of Conduct for Psychologists of the HPCSA and the Unisa Policy on Research Ethics.

Student Name: Janeen M Prinsloo **Student no.** 55776841

Supervisor: Prof Martin Terre Blanche **Affiliation:** Dept. of Psychology, Unisa

Title of project:

The development of an integrated neuropsychology, community psychology and criminology model to assist the rehabilitation of offenders.

The proposal was evaluated for adherence to appropriate ethical standards as required by the Psychology Department of Unisa. The application was approved by the Ethics Committee of the Department of Psychology on the understanding that –

- All ethical requirements regarding informed consent, the right to withdraw from the study, the protection of participants' privacy and confidentiality of the information should be made clear to the participants and adhered to, to the satisfaction of the supervisor;
- If further counseling is required in some cases, the participants will be referred to appropriate counseling services;
- Additional clearance will have to be obtained from the Department of Correctional Services to confirm that any and all formal procedures that need to be followed to gain access to the participants and to obtain information for the purposes of research, as required by Department of Correctional Services, have been adhered to, and that the relevant authorities are aware of the scope of the research.

Signed:

Prof. M Papaikononou

Date: 2016-02-05

[For the Ethics Committee]

[Department of Psychology, Unisa]

The proposed research may now commence with the proviso that:

- 1) *The researcher/s will ensure that the research project adheres to the values and principles expressed in the UNISA Policy on Research Ethics.*
- 2) *Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study, as well as changes in the methodology, should be communicated in writing to the Psychology Department Ethics Review Committee.*
- 3) *An amended application should be submitted if there are substantial changes from the existing proposal, especially if those changes affect any of the study-related risks for the research participants.*
- 4) *The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study.*

Please note that research where participants are drawn from Unisa staff, students or data bases requires permission from the Senate Research and Innovation Committee (SENRIC) before the research commences.

<p>APPENDIX 4.3</p> <p>Appeal to DCS REC Condition for</p> <p>Ethical Clearance</p>
--

Janeen Prinsloo
P O Box 7443
PETIT
1512

7 October 2016

Dear DC Sihlezena

RE: APPEAL IN RESPECT OF THE DCS RESEARCH ETHICS COMMITTEE'S CONDITION THAT THE PROPOSED RESEARCH CANNOT BE CONDUCTED IN xxxxxxxxxxxxxxxx

PROJECT: "THE DEVELOPMENT OF AN INTEGRATED NEUROPSYCHOLOGY, COMMUNITY PSYCHOLOGY AND CRIMINOLOGY MODEL TO ASSIST THE REHABILITATION OF OFFENDERS"

Thank you for considering my previous request and justification for conducting the research proposed project at xxxxxxxxxxxxxxxx.

I would hereby like to kindly request that the Research Ethics Committee consider a formal appeal in respect of the REC's proviso that the proposed project may only be conducted in another management area than the one in which I currently work, namely xxxxxxxxxxxxxxxx. I am of the opinion that the following professional, research methodology and ethical considerations are relevant and an integral part of the research which in essence makes it unfeasible and/or contra-indicated to conduct it in any other location than xxxxxxxxxxxxxxxx:

- **Professional Considerations.**

According to the (DCS) job description: "*psychologists are expected to constantly evaluate their methods, approaches and techniques scientifically and to keep abreast with changing needs and circumstances, and to conduct research projects where possible*".

This study involves both the **development and evaluation** of a unique approach directly aligned with current research literature findings and the White Paper (See Annexures A & C). An intensive intervention integrating both neuropsychological and community psychology principles requires a long-term process which cannot be done by an 'outsider' researcher (i.e. a neutral researcher unknown to the participants). The **design of the proposed project** was conceptualized over a period of five years of working at xxxxxxxxxxxxxxxx with focused understanding of its processes, dynamics and structure and the ethical issues raised as research-practitioner (See Annexure B).

- **Methodological Consideration – Research Design.**

The importance of **continuity, sustainability and community involvement in real life projects for rehabilitation**, forms the essence of this research. The *transformative mixed methods participatory action* research design directly addresses the ethical challenges of a ‘researcher-official’ working with ‘participant-offenders’. This design involves facilitating disempowered people (offenders in the correctional facility) to authentically/truthfully change issues which matter to them (in this case psychological services). This research project involves a holistic psychological intervention which is long-term in its nature (See Annexure C). The study would not have scientific validity (integrity) if it is done as a limited/short intervention from which the researcher retreats without any further long-term involvement.

- **Methodological Consideration – Post-Study Outcomes.**

The research project involves long-term partnerships with members from the community. The longitudinal nature of this project requires follow up of the intervention’s continuity and sustainability, as well as its eventual impact on rehabilitation (desistance). The offenders’ participation is based on the premise that the project aims to develop relevant rehabilitation services within their correctional centre, focusing on their decision-making and empowerment to own this process (See Annexure C). These long-term outcomes can only be effectively followed through when it is based on lasting authentic/genuine relationships. Given the **dire need for longitudinal outcome** in criminology studies, the post-study outcomes will ideally require at least another 2-3 year period for follow-up.

- **Ethical Consideration – Participant Vulnerability.**

The following table summarises the main vulnerability and risk factors relevant to the proposed project, as well as clear indications on how each of these factors will be duly addressed/managed to ensure that participants are protected and empowered (see Annexure 2 for a detailed discussion of the relevant vulnerabilities and risks, as has been provided before)

Vulnerability & Potential Risk	Procedures to protect vulnerabilities and minimizing risk
1) Voluntary consent 2) Researcher-participant power imbalance	<ul style="list-style-type: none"> • All potential research participants will be afforded free choice regarding their participation or non-participation in the project, as well the level of involvement and the roles that they would wish to be engaged with. This includes freedom to withdraw at any stage without any requirement to provide reasons for their withdrawal and without any negative consequences whatsoever.

	<ul style="list-style-type: none"> • An independent monitor can have full and free access to all parts of the project. The monitor can will be requested to submit regular reports to the REC regarding the ethical conduct of the project. • A Community Peer Review Committee consisting of offenders will be established to ensure continuous critical review of the research procedures and conduct • The researcher will continuously provide project-specific information to all potential research participants in an engaging process: <ul style="list-style-type: none"> a. to ensure truly informed choices b. to provide verbal and visual forms of information that is sensitive to the participants' literacy-levels c. to update the Information Booklet for up-to-date reference purposes d. to maximise accessibility of information by involving interested offenders in the translation of research material e. by presenting participatory action sessions throughout the research project • The participatory action approach: <ul style="list-style-type: none"> a. directly addresses the disempowered status of offenders and power differences with 'researching-official'. b. involves the participating offenders in all phases of the research process c. includes offenders as fieldworkers in the project d. the participating offenders will receive training in research ethics principles from an accredited research ethics trainer in order to empower them with ethics-specific knowledge and skills. In the process, the research participants will gain formal experience that may enable them to serve as Research Ethics Community Advisors on other research projects, or even on formal Research Ethics Committees that review offender-focused research projects.
--	--

- **Ethical Consideration – Participant Beneficiation.**

The following summarises the benefits the participants would be deprived of should this research project not be able to be implemented in xxxxxxxxxxxx.

- Development of critical thinking awareness and experience of participating in a Peer Review Committee, specifically the ability to reflect critically on and to monitor a Participatory Action Research process.

- Development of ethics awareness, ethics knowledge and ethical reasoning skills regarding the following human rights aspects: autonomy, consent, vulnerability, beneficence, non-maleficence, confidentiality, justice, etc.
- Active participation in the development of a holistic psychological intervention/services.
- Exposure to the professional field of Translation services
- Obtaining a transferable research ethics certificate which could enable an individual to be a member of a formal Research Ethics Committee.

In summary, the actual research design of this study has been specifically developed to protect the research participants' vulnerabilities, to minimize potential risks and to maximise potential benefits. **I am of the opinion that the potential benefits of the study significantly outweigh the risks.** Should this study not be able to proceed, DCS in particular and corrections research in general would be deprived of the unique contributions and benefits that this project holds (see excerpt from the original proposal Annexure C).

I am mindful that allowing an official to do research in their own area of practise is most unusual for DCS but not completely prohibited. As such, I would like to request to be granted a few minutes of the REC's time to personally do a short presentation of the study and to answer any questions and/or clarifications that you might want to pose.

Yours sincerely

Janeen Prinsloo

Clinical Psychologist

APPENDIX 4.4
Ethical Clearance DCS REC



correctional services

Department:
Correctional Services
REPUBLIC OF SOUTH AFRICA

Private Bag X136, PRETORIA, 0001 Poyntons Building, C/O WF Nkomo and Sophie De Bruyn Street, PRETORIA Tel (012) 307 2770, Fax 086 539 2693

Ms JM Prinsloo P. O.
Box 7443
Petit
1512

Dear Ms JM Prinsloo and Ms FM Mnisi

RE: APPLICATION TO CONDUCT RESEARCH IN THE DEPARTMENT OF CORRECTIONAL SERVICES ON: "THE DEVELOPMENT OF AN INTEGRATED NEUROPSYCHOLOGY, REHABILITATION OF OFFENDERS"

It is with pleasure to inform you that your request to conduct research in the Department of Correctional Services on the above topic has been approved.

Your attention is drawn to the following:

The relevant Regional and Area Commissioners where the research will be conducted will be informed of your proposed research project. Psychologist: Ms [REDACTED]

You are requested to contact her at telephone number [REDACTED] before the commencement of your research.

It is your responsibility to make arrangements for your interviewing times.

Your identity documents/passports and this approval letter should be in your possession when visiting correctional centres.

You are required to use the terminology used in the White Paper on Corrections in South Africa (February 2005) e.g. "Offenders" not "Prisoners" and "Correctional Centres" not "Prisons".

You are not allowed to use photographic or video equipment during your visits, however the audio recorder is allowed.

You are required to submit your final report to the Department for approval by the Commissioner of Correctional Services before publication (including presentation at workshops, conferences, seminars, etc) of the report.

Should you have any enquiries regarding this process, please contact the Directorate Research for assistance at telephone number (012) 307 2770 / (012) 305 8554.

Thank you for your application and interest to conduct research in the Department of Correctional Services.

Yours faithfully

Dihleza
ND SIHLEZANA
DC: POLICY COORD
DATE: 28/04/2017

DC: POLICY COORDINATION & RESEARCH

APPENDIX 4.5

Extract from University Academic Panel's Pre-Conference Feedback to BM

Comment: You said something very important that, you must try and see people as human beings you don't look at the person's race, age or culture or anything like that. But the issues of respect is also here, where prison is concerned. The issue of the type of the crime which the person has committed also has to be drawn in. You explain that, the kind of respect we are talking about is not the kind of respect based on the crime that you have committed, but based on the principles of Ubuntu. That is the kind of respect we are talking about. So, if could just work on that as well. Where the course is concerned, that should also be emphasized, because respect in prison and respect of the Ubuntu are two different things.

I also like the fact that because, especially in the academic environment in the moment, we are speaking about issues of de-colonisation, and I have already seen this course as being such a perfect example. And a word that I like to use is also re-traditionalisation, which basically means that, it is like a societal and cultural reaction to unsolved problems. You have got problems in the prison, obviously that you are trying to find solutions. So, we as Africans then go back because now what happens is that we often go back to Western ways of doing things. We think that they have all the answers. But we have come now to a place where as Africans we go like 'no, we have the solutions, why must we go out to go and look for solutions. And this is where the whole concept of re-traditionalisation comes in and this is where Ubuntu comes in as well.

So, I am very impressed that I can already see that we are not looking at Western Ways of doing things, but we as Africans we know that we have solutions and we are using the solutions at our disposal. Or we are actually like you are saying, we are going back to the basics. Because sometimes we just need to go back to basics, because something went wrong somewhere, and this is where we are admitting - you know what, we need to go back to see what went wrong, where and then we go back and tap into the principles of Ubuntu and that is where we realize that as African's we actually do have the answers.

I hope everything that I said made sense, but I would like for your guys to go back and just deliberate about this issue of respect where the prison culture is concerned. That is basically my main comment on the presentation. But otherwise everything went very well and I also feel you know the use of examples is a very very powerful tool. And I am going to reiterate one of the colleagues - people believe you when you can tell them the real story - so keep on using the examples. For a person who has never been incarcerated before, when you give the examples, we get like a picture of exactly what is happening in prison. So, the examples enhance your presentation. Thank you very much for a well-done presentation.

Suggestions:

- 1) About the order of the presentations: After Fikile, BM first gives the structure, and JD give the personal account.
- 2) Citing other scholars on African Ubuntu Philosophy. Referring to a writer: Dr Max Sefutho from the University of Pretoria. There are a lot of articles that he has written on the topic and he has also written a book on the topic, so you can consult that.

WRITTEN AND VERBAL CONSENT

Participants

- I hereby confirm that I have been **adequately informed** by the researcher about the nature, purpose, organisation, benefits and risks of the study.
- I have attended **information giving sessions** in which the above was explained to me and where I could ask for more clarity.
- In order to help my memory, I have also been given this information in a **written format**, which I read and understood.
- I know I can access **more detailed information** in the RESEARCH FILE provided in the section.
- I am aware that the results of the study will be **anonymously processed** into a research report.
- I understand that my participation is **voluntary** and that I may, at any stage, without prejudice, withdraw my consent and participation in the study.
- I understand that I need to **register as a participant** by filling in the attached registration form where I provide information about myself and the level of involvement I am interested in. I know that I can change this form at any time and / or ask for the original form back if I would prefer to fill in a new one.
- I understand that I can agree to participate in the follow-up assessments after my release. For this I need to provide my release date and my home address. I know that I can choose to withdraw this information should I change my mind.
- I know that I can change my level of participation with no negative consequence to myself or my sentence.
- I had **sufficient opportunity** to ask questions and of my own free will declare myself to participate in the study.

Participant's name (please print): _____
Participant's number: _____ **Date:** _____
Researcher/psychologist's name: _____ **Date:** _____
Researcher/psychologist's signature: _____

**REGISTRATION FOR VOLUNTARY PARTICIPATION
 IN THE RESEARCH PROJECT**

Name:	Number:		
Unit:	Cell:		
Release date:	Age:		
Choose one:	I am standing in for a cell monitor as a representative		
	I am not a cell representative but just interested to be involved.		
	I am a Cell Monitor		
	I am an assistant Cell Monitor.		
	I am a Cell Committee Member		

I am interested to get involved in the following roles:

Research Participant (You can invite me to their meeting times.) Circle which:

	YES	NO
We need many volunteers to do the before and after exercises and questionnaires. This can include people who are involved in the project and those who are not. It is to measure the impact of the project is on people's thinking. (At the most 2 days)	YES ✓	NO ✗
Cell Monitor Group Work in partnership with fellow Cell Monitors towards realising collaboratively identified goals. It may be that more than one goal is identified on which sub-groups will then be working. (Tuesdays and/or Wednesdays)	YES ✓	NO ✗
Steering group Planning and organising responsibilities to make the project run smoothly (e.g. caring for equipment).	YES ✓	NO ✗
Representative Peer Review Committee Critically review the material and research process to ensure that it is sufficiently accessible to enable participants' autonomy. (Monthly meetings, Thursdays)	YES ✓	NO ✗
Ethics Training Participating in formal ethics training workshops with a bio-ethicist from the community. This will include practical feedback of ethical dilemmas that Cell Monitors may come across in their day-to-day life.	YES ✓	NO ✗
Research Ethics Advisor For this training you need to have been involved in the research project and to have done the ethics training. Acquired skills need to be practically demonstrated in a case study in order to receive this certificate.	YES ✓	NO ✗

I am willing to be interviewed at least six months AFTER my release.
 If you answer YES to this question, please provide your address and a telephone number where you may be contacted:

ADDRESS: _____

TELEPHONE NUMBERS: _____

I understand that I can change my mind about my participation at any time

Signature _____

**APPENDIX 4.6
 Consent & Registration Forms
 (copy)**

APPENDIX 4.7
Example: Letter of Gratitude



**PARTICIPATORY ACTION RESEARCH PROJECT
FOR THE DEVELOPMENT AND SUPPORT OF CELL MONITORS**

Dear [REDACTED]

I wish to express our sincere gratitude to you for all the time and effort you have volunteered to complete the PRE-ASSESSMENT forms, questionnaires and exercises as a RESEARCH PARTICIPANT.

Your involvement and contribution to this study is highly appreciated.

Primary investigator:

Janeen Prinsloo

*MA Clin Psych MSc Clin Neuro Psych Post Grad Dipl Appl Crim, Pen
(Clinical Psychologist)
011 898 3775*

Promotor:

Prof Martin Terre Blanche

Department of Psychology



Appendix 4.8

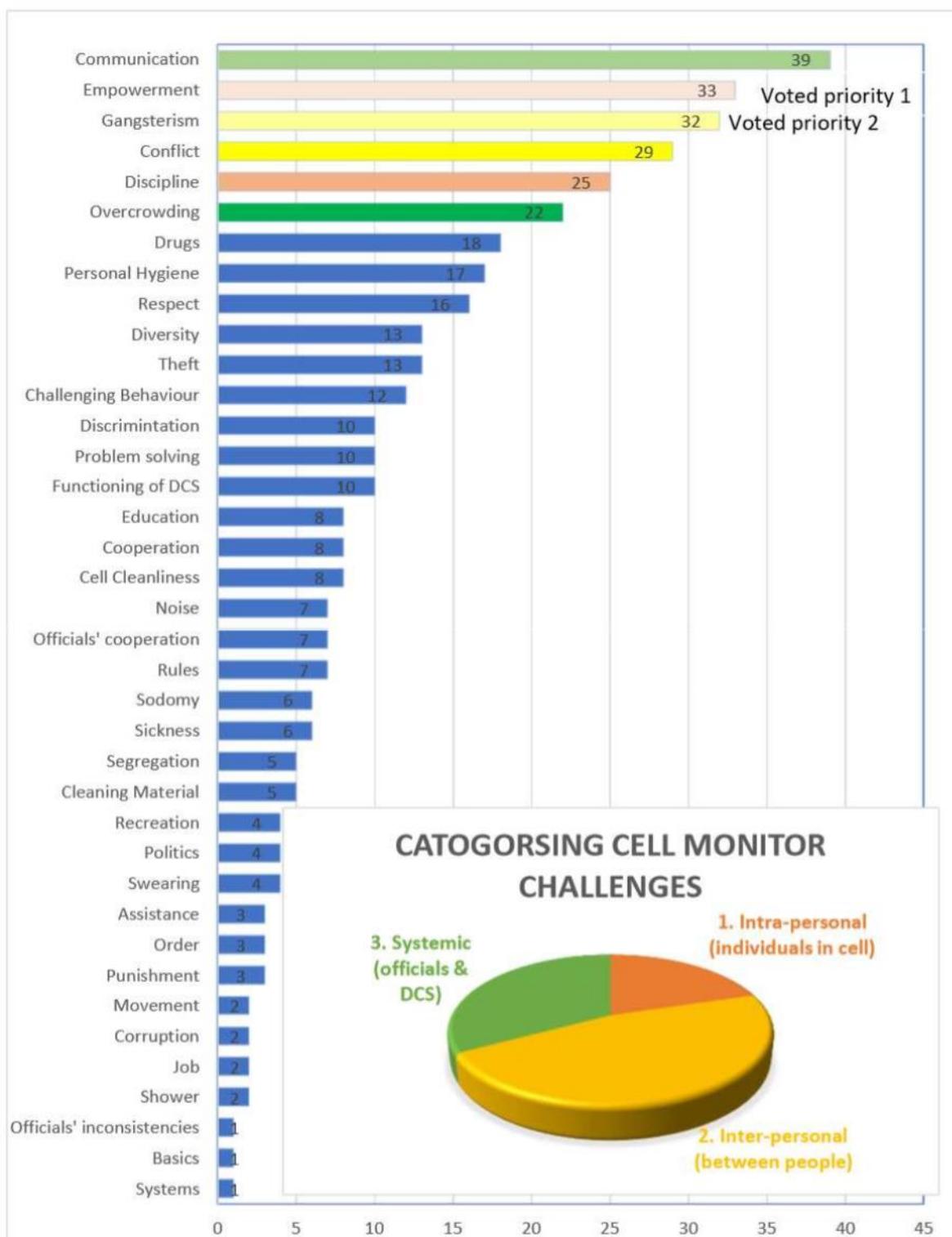
Summary of the Demographic Information

Descriptions	PreG	MPG	PostG
Attendance			
<i>N</i>	48	18	25
<i>M</i>	26.54	41.94	40.5
<i>SD</i>	16.12	7.4	8.37
Minimum		22	22
Maximum		50	50
Age			
<i>N</i>	47	18	
<i>M</i>	41.85	46.78	
<i>SD</i>	8.5	9.92	
Minimum	27	34	
Maximum	75	75	
Education			
<i>N</i>	47	18	
Under privileged	17.02 %	22.22 %	
Privileged	72.34 %	72.20 %	
Not indicated	10.64 %	5.60 %	
Highest School Grade			
Grade 8	2.13 %	5.56 %	
Grade 9	6.38 %	16.67 %	
Grade 10	14.89 %	11.11 %	
Grade 11	12.77 %	11.11 %	
Grade 12	53.19 %	44.44 %	
Not indicated	4.26 %	11.11 %	
Highest NFQ level			
NQF 2-4 (School Grades)	27.66 %	27.78 %	
NQF 5	4.26 %	5.56 %	
NQF 6	6.38 %	11.11 %	
NQF 7	6.38 %	5.56 %	
Other	29.79 %	22.22 %	
Not indicated	23.40 %	27.78 %	
Language			
Primary South African languages	10	5	
English as primary language	19.15 %	27.78 %	
Not indicated	6.38 %	5.56 %	
Preferred a translator	21.28 %	16.7 %	
Not indicated	10.64 %	5.6 %	
Preferred English as the language of assessment	80.85 %	94.4 %	
Not indicated	6.38 %	5.6 %	

Descriptions	PreG	MPG
Length of Sentence		
5-9 years	8.51 %	5.56 %
10-14 years	2.13 %	5.56 %
15-19 years	25.53 %	33.33 %
20-24 years	17.02 %	16.67 %
25+ years	19.15 %	16.67 %
Life sentence	19.15 %	16.67 %
Not indicated	8.51 %	5.56 %
Years of incarceration		
<i>N</i>	43	17
<i>M</i>	8.29	7.58
<i>SD</i>	5.2	5.07
Minimum	1.5	1.8
Maximum	18	17
Accommodation		
Lion	34.04 %	44.44 %
Buffalo	19.15 %	11.11 %
Elephant	2.13 %	5.56 %
Rhino	14.89 %	16.67 %
Leopard	8.51 %	5.56 %
Single Cells	19.15 %	16.67 %
Not indicated		
Role		
Cell Monitor	23.40 %	16.67 %
Assistant CM	14.89 %	16.67 %
Cell Committee Member	27.66 %	33.33 %
Cell representative	4.26 %	5.56 %
Interested person	27.66 %	27.78 %
Not indicated	2.13 %	
Head Injury		
Experienced	25.53 %	61.1 %
Not indicated	6.38 %	5.6 %
Loss of conscious		
Experienced	10.64 %	11.1 %
Not indicated	10.64 %	16.7 %
Epileptic seizure		
Not Experienced	87.23 %	83.3 %
Not indicated	12.77 %	16.7 %

APPENDIX 4.9

Cell Monitor Challenges



Note: Integrated results from frequency of responses (previous groups + individual priority + brainstorming + section discussion + officials' opinions) and voting systems. Colour-coding show categorising results. Within category the dark shade was voted the higher priority.

APPENDIX 4.10

Extract from Ethics Workshops Feedback and Questions Session (transcribed)

Abbreviations: Q = question; A = answer; F = facilitator; gr = from the group

Sub-Group 1: What is ethics?

Hello everyone - As a group topic our topic was: what is ethics?

1. We said what ethics is your moral conduct the way you behave towards others
2. We said integrity
3. We said a person who is guided by certain principles of qualities
4. We said that we will identify this person who is ethical by his conduct and we also have the
5. The definition in the dictionary by number 5: ethics is moral principles which are associated with what is good. It is the system of moral principles that effect how people make decisions and lead their lives. It is concerned with what is good for individuals and society and also described as moral philosophy.
6. We said this person he has to be having self discipline and as our summary as a group we all agreed that ethics is a person which is disciplined in all his conduct and how he conducts all his affairs.

*

Q1: Please just to clarify we were in a rush when you were reading, can you tell us again what ethics is from the dictionary, please

A1: Ethics is the moral principles associated with good conduct.

Sub-Group 2: Ethics in our daily lives:

Good morning gentleman. We were tasked to look at the ethical principles in our daily lives.

We first started by giving a definition, or discussing a definition of what actually ethics is. We agreed that ethics are morals principles that governs a person's behaviour or the conduct of activity.

We then looked at how are those passed from person to person. We gave example of do not steal, do not swear, use wrong language, if you get arrested it means that you are leaking other people, the list goes on and on and on. Those are ethical issues. If you start stealing it causes chaos. If you swear nobody would want to associate with you.

We agreed we are from different backgrounds; ethics are passed on to us over a period of time by the environment that we grow in or the society that we belong to. And from there arose challenges that we are facing in this centre. We are very diverse, we come from different backgrounds. Hence the saying, you can't teach an old dog new tricks. We know that. Remember I am 50 something years old. All this time I have been leading my life. I will say that I know ethics and I do not want to learn form you. Which is wrong.

We looked at how do we model and improve them to work for us in this centre, where diversity is a norm. Okay. First, we agreed that we need to understand each other emphatically, I mean - be in the shoes of the person who does something that hurts

you. Be in the shoes of the person who does something that seems immoral to you.

This will give you an idea okay, we are different. Maybe he knows it the other way round. And in trying to re-model or learning them, we need to accept the fact that we differ and that alone will position our minds to learn from each other. New rules and regulations that will make our diversity meaningful in this centre.

*

Q2: That gentleman should tell me when they said it is either this man knows it the way around? What do you mean? You mean I can come out of my house and stand in the middle of the classroom and pee. Is it what you are saying?

A2a: Yes, depending on where we come from. You might not be offended by someone with his hands in the pocket and looking you straight in the eyes. We know in our African culture that is being rude, while in other cultures it is acceptable. I might talk to you with my mouth full of food, and you feel offended, while where I come from, we don't mind, we answer when we are sitting at the table. Thank you.

A2b: Sorry to take your time I just wanted to answer the brother when he asked the question - what do you mean? Does it mean if you don't go to school and he just stands and pee there you will say that maybe this guy he learned it from where he comes from. Sometimes our ethical life-styles are guided by the rules of the places that we dwell in. For example, here in prison, I can't just come here and smoke, because the rule says smoke is not right, obviously which is unacceptable, which is unethical here, so sometimes the rules and regulations where we reside in leans on our ethical lifestyles.

Sub-Group 3: Ubuntu

Thank you very much for the time. Okay, on the topic of ubuntu we discussed and we discovered ubuntu is in humanity. When I say humanity, I mean we do away with the animals, the animals' behaviour.

We do away with the things that hurt other people. Before you do something, you put yourself in their shoes and feel how is that person is going to feel when you do that to them.

Ubuntu is helping the need, is helping those who can't help themselves. In our society we have people who are handicapped, who are mentally handicapped and others are handicapped in different ways. So, when as a normal person it is your duty to help those who can't help themselves. We have people who are less fortunate. So ubuntu comes in by you giving those who don't have food to eat, not giving them everything you have, there is a line ubuntu, but it is all about sharing.

Ubuntu is all about unconditional love.

APPENDIX 4.11

Adjustments to self-rating questionnaires' Likert scales

1. Executive Function Index (EFI)

	Not at all		Somewhat + / -		Very much
	X X X X X	X X	- / +	v v	v v v v
	1	2	3	4	5

2. Bull's Mental Skills Questionnaire (BQ)

	Strongly Disagree		↔		Strongly Agree	
	1	2	3	4	5	6
	1	2	3	4	5	6
	6	5	4	3	2	1
	1	2	3	4	5	6
	XXX	XX	X	√	√√	√√√
	1	2	3	4	5	6
	1	2	3	4	5	6

3. Criminogenic Cognitions Scale (CCS)

NO!	no	yes	YES!!
XX	X		
1	2	3	4
Strongly Disagree	Disagree	Agree	Strongly Agree
1	2	3	4

APPENDIX 4.12

Modifications to Bull's Mental Skills Questionnaire Items

Original Item	Modified Item
1. I can rehearse my <i>sport</i> in my mind.	1. I can rehearse (<i>practice, prepare, repeat</i>) my <i>plans</i> in my mind
2. I rehearse my <i>skills</i> in my head before I use them.	2. I rehearse (<i>repeat</i>) my <i>actions</i> in my head before I do them
4. I can imagine how movement feels.	4. I can imagine how <i>different situations would make me feel</i>
5. I always set myself goals <i>in training</i> .	5. I always set myself goals for the future
7. I always analyse my performance after I <i>complete my performance</i> .	7. I always analyse how I performed after I <i>had done an important task</i>
9. I suffer from lack of confidence about my <i>performance</i> .	9. I suffer from lack of confidence about my <i>ability to achieve my goals</i>
10. I approach all <i>competitions</i> with confident thoughts.	10. I approach all <i>challenges</i> with confident thoughts
11. My confidence drains away as <i>competitions draw nearer</i> .	11. My confidence drains away as <i>I have to go into action</i>
12. Throughout <i>competitions</i> I keep a positive attitude.	12. Throughout <i>my efforts to achieve a goal</i> , I keep a positive attitude
13. I often experience fears about <i>losing</i> .	13. I often experience fears about <i>failing</i>
14. I worry that I will disgrace myself <i>in competitions</i> .	14. I worry that I will disgrace myself <i>when challenged</i>
15. I let mistakes worry me when I perform.	15. I let mistakes worry me when I <i>have to</i> perform
16. I worry too much about <i>competing</i> .	16. I worry too much about <i>how I might do</i>
17. My thoughts are often elsewhere <i>during competition</i> .	17. My thoughts are often elsewhere <i>when I am doing a task</i>
18. My concentration lets me down during <i>competition</i> .	18. My concentration lets me down <i>when I need to perform</i>
19. Unexpected noises put me off my performance.	19. Unexpected <i>interruptions</i> put me off my performance
21. I am able to relax myself <i>before a competition</i> .	21. I am able to relax myself when <i>faced with a challenge</i>
22. I become too tense before <i>competition</i> .	22. I become too tense before an <i>important event</i>
26. I really enjoy a tough <i>competition</i> .	26. I really enjoy a tough <i>challenge</i>
28. I usually feel that I try my hardest.	28. I usually feel that when I needed to, I have tried my hardest

APPENDIX 4.13
Extract from Translated Transcriptions

Fragment from questions responding to the Compassion Sub-Group's presentation
(fragment)

A
Questions?

B
Ok, I just want to...in all these virtues that they put, is it possible, if ever that they can put yourself in every person's shoes (laughter)...I'm not talking about the...of the virtue itself, but for it being pragmatic, is it possible to put yourself in every person's shoes (no!)?

C
My view, my view is that it is not possible. It is not possible, we are human. You cannot always put yourself in other people's shoe. We are human.

01:34:00 - 00:34:17

D
Mina, ngicela ukubuza. From a bantu a ba mnyama, uyibonisa kanjani i-compassion?
If I may ask. From a black person point of view, how can one show compassion?

C
Okay, by showing affection as by...remember we said compassion has an element of care and kindness, ne, so if I show compassion or display the elements of compassion

01:34:30 - 00:34:39

Umuntu uzobona ukuthi ngine compassion. Umuntu uzobona ukuthi ngine affection.
A person will see that I have compassion. A person will see that I have affection.
...in some way or the other.

D
We need to learn guys. (ya)

01:34:44 - 01:34:49

C
Ma si qede ngale before si ngena ngapha
Let us finish with this one, before we can go into this one.

Fikile:
...taking more questions, ne, because ...need to continue. (just one more question please; get away!; we need to learn;)

01:35:00 - 01:35:20

D
Sonke sibukela ama movie. Ubone Umuntu a hamba ne ntsaiza yakhe, a thathe i-jacket a mo covere ngayo.
We all watch movies. We see a guy walking with his woman and taking his jacket to cover his woman with it.
...take this jacket to...that is the show of compassion

C
D, thank you for that example, just one, let me take one (referring to more questions)

APPENDIX 14 a

Coding Participation: Extract from Transcribed Recording

(on discussing violence at stadium)

Day	Participant	Contribution
		<i>To ensure anonymity referrals to names have been replaced by chronological letters of the alphabet.</i>
24	9	4 (Z:).....Before you answer, that is not what I was trying to say. You said, those people, they did what they did because they were frustrated. ...When you are frustrated, because you love that team. If they don't love that team, what ever happen, will not affect them. They love that team to the extent that they can go the extra mile to do anything when the team is going down. You understand what I am saying?
24	1	17 [00:35:05] Chair: In short, are you saying their love betrayed them?
24	9	5 Z: I may say that, because in the end they ended up doing somethings, something like that, yes.
24	1	17 [00:35:15] Chair: Negative? Ok. Noted my brother.
24	13	1 [00:35:19] A: Just to challenge what you're saying. If I love my wife so much, does it give me the right to beat her up (laughter)?
24	9	6 [00:35:27] B: You can't beat your wife if you love your wife.
24	13	2 A: So is it right enough for [00:35:29] them, they had the same love, they have for Kaizer Chiefs, to do what they did?
24	9	7 B: They were not beating Kaizer Chiefs [00:35:37].
24	13	3 A: The woman who got hurt, the security guys [00:35:40] that got hurt, they were storming to go beat up Steve Compella. Was it right to beat up and bash Steve Compella and bash the surrounding of the environment of the stadium. Because of claiming that they love? That is not love. Those are just fans, they are not supporters of the team. Kaizer Chiefs and government are two different things. Government is put there by the people. Kaizer Chiefs is privately owned. So.. (we can) not put government and say what they are doing in North West, is what gives them the right to also do in ... [B: no its two different...point of order] that is what I am responding to V's response. To have compared the two - we can not compare the two. So the way they are behaving in the North West (NW), they are the ones that elect the people to represent them. And failure to represent them, they give them they have the right to protest. Hence it is written in court - to give the people the right to say - here's the documentation, you can go and strike. Here is the documentation, you[B..comments on who is talking to whom] so, with what the people in North West are doing, if it is written in court and they are allowed to do it, they are allowed to do it. And with Kaizer Chiefs, what they did, is humiliating the whole country. Because they had no right and no stake to do what they did. Thank you.
24	1	18 Chair: Over to you C
24	7	5 [00:37:23] C: (<i>Linking to training</i>) Ya, if memory serves me well, ne, during the training , ne, of Ubuntu, Fikile said something controversial. She said, to say...it means to say that, I can even...it doesn't....to be that you are a person with personhood, you are a push over. You remember, D? She said you can even go to an extent that you fight [B: thank you] together with your community [B: thank you] for a favorable outcome. Not to say that I am condoning criminal behavior, and I am not supporting what happened there, but sometimes you need to be objective to say that what pushes people. It is also what we did in ethics, also, and ethics training. To say that the differences between ethics versus law and morals versus, morality versus law also. So that people were, when you look at it in an objective way, they might say they are right. That is right behavior. If you look at it from the...that we received. From that perspective. They would say that, now this is morally right. Evens if it is not love. You remember we did it? [Group: I remember yes]
24	1	19 Ch encourages: " Gentleman talk with us, talk with us - Mr D?"
24	14	1 [00:39:06] D: ...I think where it is misunderstood is that eh, I think I also made a contribution that day. That eh, whenever, it is the very same day when we talked about <u>tough love</u> [C: tough love, right]. So in that situation, in the Kaizer Chiefs game situation, there is no justification whatsoever. Why am I saying that? Tough love you use tough love whenever you want to save somebody from a bad situation or a dangerous situation. Then you have to use tough love. There in that game, there was no point. If ever they wanted to use tough love, during that day to address the situation, maybe they would have gone home. Get maybe a Kaizer Chief jersey and go and play [Group: laughter] You see? Or get another couch and....because that would be the best way to push to show eh tough love. Because now...immediately you become violent, what happens to the rights of the next person? [Group: laughter].
24	1	20 Chair: Alright Mr E?
24	4	5 [00:40:36] E: I've got so much to say, but I will start with this (and then end up coming back, ne?). Mr F according to the context of Ubuntu, [F: yes] what Ms Mnisis was saying was that eh Ubuntu calls us to fight for other people's rights. Listen to this, Ubuntu calls us to fight for other people's rights. If you see other people are being oppressed, and you are and you are fighting for their rights,

APPENDIX 14 b

Categorizing Content: Extract from Thematic Analysis (TA) Process of Topic Identification

(The format of this spreadsheet was adjusted (to A4 page) to demonstrate how a group discussion about the PAR process was categorized according to previously identified topics)

CRIME	Lifestyle issue		
	Reference to		
	Release		And here, we are here to make a change, to make a difference. So that when people go out, they go out being a changed person. Understanding certain
	Self-reliance	To empower somebody, it is to give him for the life, something for his life, to protect himself. And even, when we discuss, may we not forget what was the purpose of this course. Because, when we learn, we have to take something somewhere. And something that make this guys, maybe they see us - 'no, M, always want to talk about one thing'. It is because it is, when they talk, I listen and I add something from them. That, no, we don't go on one way - we have many ways. Because, after we learn, there was a question - about what we have - what we do about it. We said no, we will go and learn, we take it to the sections.	And here, we are here to make a difference. So that when people go out, they go out being a
	Rehabilitation / Change	To empower somebody, it is to give him for the life, something for his life, to protect himself. But the real purpose of us being here, is not about the certificate, of what we have, it is all about us, who are inmates. What we can do, to change our lives. And even, when we discuss, may we not forget what was the purpose of this course. Because, when we learn, we have to take something somewhere. And something that make this guys, maybe they see us - 'no, M, always want to talk about one thing'. It is because it is, when they talk, I listen and I add something from them. That, no, we don't go on one way - we have many ways. Because, after we learn, there was a question - about what we have - what we do about it. We said no, we will go and learn, we take it to the sections.	we are here to develop ourselves, more than certificates. And here, we are here to make a difference.
	Imprisonment:	People like always something. They want to get something from the course. They forget about themselves. But the real purpose of us being here, is not about the certificate, of what we have, it is all about us, who are inmates. What we can do, to change our lives. Not a piece of paper, which I can put it there somewhere, when they see the paper, see me, as a teachd person. There is something that we are missing.	
DCS	Problems		
	Strengths		
COMMUNITY	Involvement with	and the philosopher and prosecutors come here, because we have questions for them which we want to ask them.	
	versus Group Referring to		
	Needs		
UBUNTU	Reference to	For Ubuntu it is part of the course, we do Ubuntu	Understanding certain dynamics of life, you know.
	Vignette		
	Politics		
	Government/Justice		
	Skill training & certificates	But the real purpose of us being here, is not about the certificate, of what we have, it is all about us, who are inmates.	A number of people are doing courses, there are people who are attending now and then, now and then. And here, we are here to
	Cell/Section intervention	We said no, we will go and learn, we take it to the sections.	
	Members (staff)		
	Ubuntu group	For Ubuntu it is part of the course, we do Ubuntu	
	Reasons for relapse		
HOW	Relapse/Crime Prevention	But the real purpose of us being here, is not about the certificate, of what we have, it is all about us, who are inmates. What we can do, to change our lives, no, we don't go on one way - we have many ways. Because, after we learn, there was a question - about what we have - what we do about it. We said no, we will go and learn, we take it to the sections.	Understanding certain dynamics of life, you know. Because I thought we are here to develop ourselves, more than certificates. And here, we are here to make a change, to make a
	Business training		
	Research & epistemology		
	Reference to process	I hear what C is saying. But, the problem that I have with these guys, when always I say we must not forget the mandate of the course. People like always something. They want to get something from the course. They forget about themselves. To empower somebody, it is to give him for the life, something for his life, to protect himself. For Ubuntu it is part of the course, we do Ubuntu. And the philosopher and prosecutors come here, because we have questions for them which we want to ask them. But the real purpose of us being here, is not about the certificate, of what we have, it is all about us, who are inmates. What we can do, to change our lives. Not a piece of paper, which I can put it there somewhere, when they see the paper, see me, as a teachd person. There is something that we are missing. So maybe, if these guys, they can maybe read, what Janeen give us and feedback, they will understand the purpose of the course. And even, when we discuss, may we not forget what was the purpose of this course. Because, when we learn, we have to take something somewhere. And something that make this guys, maybe they see us - 'no, M, always want to talk about one thing'. It is because it is, when they talk, I listen and I add something from them. That, no, we don't go on one way - we have many ways. Because, after we learn, there was a question - about what we have - what we do about it. We said no, we will go and learn, we take it to the sections. But that, we don't do it, because there is something else that we were looking at. Not about what Fikile told us. Where it is there where the problem lies.	I think he has summed it well Gents. Because I thought we are here to develop ourselves, more than certificates. Because at the end of the day, a number of people are doing courses, there are people who are attending now and then, now and then.
PROCESS	CONTENT		
	Observations/ Reflections	Acknowledging process comment	Ch:
	Executive function		
TRANSCRIPTION		[00:39:49] I hear what C is saying. But, the problem that I have with these guys, when always I say we must not forget the mandate of the course. People like always something. They want to get something from the course. They forget about themselves. To empower somebody, it is to give him for the life, something for his life, to protect himself. - and the philosopher and prosecutors come here, because we have questions for them which we want to ask them. But the real purpose of us being here, is not about the certificate, of what we have, it is all about us, who are inmates. What we can do, to change our lives. Not a piece of paper, which I can put it there somewhere, when they see the paper, see me, as a teachd person. There is something that we are missing. So maybe, if these guys, they can maybe read, what Janeen give us and feedback, they will understand the purpose of the course. And even, when we discuss, may we not forget what was the purpose of this course. Because, when we learn, we have to take something somewhere. And something that make this guys, maybe they see us - 'no, M, always want to talk about one thing'. It is because it is, when they talk, I listen and I add something from them. That, no, we don't go on one way - we have many ways. Because, after we learn, there was a question - about what we have - what we do about it. We said no, we will go and learn, we take it to the sections. But that, we don't do it, because there is something else that we were looking at. Not about what Fikile told us. Where it is there where the problem lies.	I think he has summed it well Gents. Because I thought we are here to develop ourselves, more than certificates. Because at the end of the day, a number of people are doing courses, they are

APPENDIX 4.15
Extract from Member Checking Feedback

‘Member Checking and reviewing post gradual research paper’: PARTICIPATORY ACTION RESEARCH

From the inception of the research, the research was people-centred, hence the it was named Participatory Action Research. Participants were not treated as subjects only, but took ownership and be the centre of the research. The researcher, Ms Prinsloo, used most instruments that are people-centred research which are: **translation; consent; confidentiality; anonymity and beneficence for the participants**. She consulted major stake holders to introduce the research proposal to for example: Management of the Centre and influential inmate committees such as **SRAC; University students; Inmates’ School teachers; and other inmates’ representatives**. As part of consultation, she checked a suitable venue for participants to attend, checked suitable days to attend and avoid sports and shop days.

Ms Prinsloo (The researcher), used cell monitors and corrections officials to recruit people of different demographics (the youth and elders, various races and colour, and educational background) As a psychologist, she created an open environment wherein every participant would be free to contribute in their own vernacular languages. The *translators* were readily available when needed. She created an environment of respect and embrace each other’s strength and weaknesses.

It was clever of her to team-up with Dr Fikile Mnisi, to introduce the **Ubuntu Ethics Training**. The training became the core of the research project. It was the subject that everyone embraced and can relate to. The training was well-presented, **full of constructive debates, dairy-keeping and reflective writing**. Participants were urged to practice the principles of ubuntu in their respective sections, and give feedback at the next meeting. The Ubuntu Ethics Training ignited real live situations both in and outside to participants. There were debates in sub-groups and finally giving feedback to the larger, or main group.

As for transformation/transition, the research/training has transformed the inmates in such a way that they view life in a different light. I’m the living example of that. I have learnt to respect others peoples’ lives, views and opinions rather than before. I and other participants learned to assist those who are in need without expecting anything in return. This should be an indication of rehabilitation. There were rehabilitation programmes offered at the centre, however, they didn’t much different like the P.A.R did. The participants lived a changed life, even the centre’s officials experienced and recommended the training. It was so meaningful.

Since I have been on the outside world for more than two (2) years, my community has seen a lot of change in me. They embrace the new me. I view and do things differently. The P.A.R, particularly the Ubuntu Training has reminded me who I am and where I am coming from. It has evoked the inner me, and how I was raised in the caring family and community at large. I even voluntarily assisted an NPO with the distribution of food parcels to the needy during the Lockdown. Moreover, I never expected anything from my volunteer work. Those are the results and contribution of P.A.R, that includes Ubuntu Ethics Training. The new behaviour has earned me trust in my community.

There is no need for any changes in the study. The only need that need to improve may probably be refreshments since other participants walk out of their section without having breakfast. People tend to lose concentration when they are thirsty and hungry. The second improvement could be, to ensure that the core of participants remain with the research/project in which ever way possible. I used to visit and encourage the elders to attend such Bra A, Bra B, Bra C and many more. We would share the various topics we discussed and see where it could improve.

The specific moment of significance in my experience of this study that stayed with me that has not been touched in the summary is that: prison or any situation should never change who I am. I should remain humble at all time and not forget where I come from. In addition, I should help/assist when I am needed without expecting anything in return. As people, we should value the lives of others nor matter where they come from.

My humbleness makes me more included in the community. I participate in areas where others view as reducing their social status. On the contrary, the ‘Criminal Record’ disadvantages me in many economic opportunities. In some areas, people label you without giving you a chance to explain yourself and tell them how you can contribute to their organisations, or their lives.

Appendix 5.1

Abstract and PowerPoint Slides of MB's Presentation to the 6th ICEE

'Getting Back to Basics' – The Impact of Ubuntu Ethics Training for Inmates



Background: It is well-known that the correctional centres in South Africa are characterised by conflict and corruption. It is an environment that desperately needs training on ethics for the offenders and the officials alike. Each day these persons are bombarded with lots of decisions and choices to take, often with unwanted or undesirable outcomes.

Aims/Purpose: The aim of the presentation is to outline the impact of Ubuntu Ethics on a group of inmates whom participated in an ethics training programme. It further gives an account on how the group of inmates took it upon themselves to extent their knowledge of Ubuntu Ethics to fellow inmates and officials.



Methods/philosophical perspective: The Ubuntu Ethics training formed part of a larger PAR study. The training included discussions, group reflections and exercises (2-3 times a week) on various principles of Ubuntu Ethics. The reflections resulted in the empowerment of individuals and groups in order to autonomously engage with Ubuntu Ethics.

Results, Outcomes and Implications: The training has transformed the offenders' mind-set and ethical awareness. As participants in the ethics training and its application, we as inmates realised the positive impact in our lives and the importance of imparting what we have learned to the entire prison community. As a result, we then started an ethics group called the 'Ubuntu Group' with the aim to teach other offenders and to support us to continue applying the moral values that we have learnt.



Conclusion: Years of experience both within the correctional centre and outside in the community has taught me that regardless of how good an educational programme or an idea is, its success depends largely on the packaging (content and structure) and the presentation (style) of the training programme. The participatory action approach followed in this project addressed both these aspects; the loving and friendly ambience that was created by the facilitators allowed the participants to speak openly. **Keywords:** Ubuntu; ethics training; prison; participatory action research; ethics awareness

Appendix 5.2

Transcription of JD's Presentation to the 6th ICEE

How Respect Made Me Survive Prison: The Application of Ethics Education

As an inmate I was eager to learn and attend many training courses, but many people kept on telling me that I had 'communication problems'.

I saw a group of fellow inmates meeting regularly. They looked organised, sitting in groups. As I recognised a few people I respected, I decided to join them.

This is how I became a participant in an Ethics Education course which was facilitated in a South African Correctional Centre by a bioethicist from the community, Fikle Mnisi.

Being taught about ethics, morals and laws, especially the application of a South African philosophical principle known as Ubuntu has helped me to develop my moral thinking and change the way I communicate with others

During the training we had to answer various questions in writing. In addition, we were also required to practice and apply the different values of Ubuntu on a weekly basis.

An understanding that what is lawful is not always ethical and what is unlawful can be considered ethical has helped us to be morally alert when faced with different situations. The practical application of Ubuntu on a weekly basis developed our moral thinking. Ubuntu values made me realise how to focus on respecting my community and as a result to respect myself as well.

Ubuntu, 'I am because we are' thus 'a person is a person through others.' So, what does this mean?

These quotes all pertain to the interdependent relationship between an individual who has Ubuntu and his community. The individual and the community is interconnected so much so that they share in the sufferings of a community member.

However, Ubuntu is more than a community-based principle it is a moral principle as well, which teaches an individual how to conduct themselves and how to live their life.

The key values of Ubuntu are respect, care, kindness, compassion, selflessness, sacrifice, loyalty, truthfulness, solidarity, unity, reciprocity, interconnectedness, freedom, justice, dignity and most importantly, harmony. All the values of Ubuntu lead to harmony. It is the end-goal of the state of an individual within their community. A violation of one value leads to disharmony not just within the individual but the community as well.

I am going to emphasise the new insights I gained about respect under Ubuntu and how it developed me as a person. Of all these values, respect is what I felt I lacked the most – hence my so called 'communication problems'.

As all the values of Ubuntu lead to harmony, therefore a violation of respect leads to disharmony and thus no Ubuntu and we all will be categorised as '*isilwane*' (or in other words animals). Where there is a lack of respect there is a lack of harmony, where there is a lack of harmony there is no oneness. We are who we are because we respect who the next person is. Respect is a feeling of admiration that you have for a person because of their personal qualities. Respect is also a feeling of admiration that you show by treating people in a polite and kind way. It's a feeling that something or someone is important and deserves serious attention

People say respect goes a long way and that respect is a two-way street: I respect you because you respect me, disrespect me and I will disrespect you. This was my previous moral thinking, where I wouldn't be respectful to people who were disrespectful toward me, and I in turn treated them in the same disrespectful manner they treated me. This is not what Ubuntu encompasses, my behaviour was selfish and individualistic. Ubuntu develops gradually over time and is not

something you're born with. We develop values as we grow and develop into a person with personhood (*umuntu onobuntu*) and then these values become our virtues. A person without respect hasn't developed their moral thinking yet, I can help an individual grow their personhood by respecting them even when they don't respect me. Ubuntu states that a person's disrespect is my disrespect, his sickness is my sickness. Until this person becomes what I am, I have to continue respecting him even if he continues disrespecting me.

In prison I came to realise that most people who are disrespectful was acting like this because of their circumstances caused by the situation they were in. Most people who are disrespectful don't even realise that they are disrespectful. Once you treat them with respect, they realise that they are disrespectful and should return the respect that you are giving them. Consequently, my learning to communicate respectfully made me survive in prison. Before, I was often punished because of arguments, swearing and fighting. For instance, every cell has rules, what you can do, what you should and shouldn't do and punishment for the breaking of these rules are enforced by an elected cell monitor and cell cleaner who keeps the discipline in the cell when the cell is locked. Punishment can include having to clean the cell for a number of weeks or months or exclusion from the cell. I learned to see my fellow inmates as people with different levels of moral development because of their different backgrounds, and that helped me to keep my composure and respond respectfully when conflicts occur. Respecting in the presence of disrespect helped me to resolve many conflicts harmoniously.

Respecting someone's freedom maintains their dignity and as a result upholds the person's rights, which results in harmony within the community. Thus, respect needs to be established before there can be harmony. Respect under Ubuntu is serving your neighbour respectfully where there is no respect. You forget about self, your qualifications and your social status. Respect goes hand in hand with sacrifice.

Respect under Ubuntu is a one-way street that gradually develops into a two-way street where there is mutual respect. This can be tiresome; however, one needs to endure and not give up in the midst of disrespect. We must not stop educating and demonstrating our respect even in the absence of it.

The application of Ubuntu in prison was instrumental for my survival and rehabilitation in prison. Especially, since it is easy to overlook and disregard one's personhood in prison. I continue to apply this principle outside the prison in my community; it has made me realise the importance of community.

APPENDIX 5.3

Sub-Group WORKING WITH THE COMMUNITY (Them):
Results from questions-brainstorm and (later) answers sessions

- 1. Why do we need to bring the community in?**
Many of them don't have the slightest idea of what the benefits of practicing Ubuntu is.
To be able to understand each other much better and live together in harmony and to understand our constitutional rights.
We are part of the community
We need to gain their trust & practice Ubuntu
The community must show Ubuntu by accepting us back.
- 2. What is the benefit of them coming?**
Because we are going to impart what we have learned to them.
For them to see that we have become better people
- 3. What can the community benefit from us?**
Create a culture to know each other better by knowing the strengths and weakness of inmates and the community.
We are a good example to their kids that crime doesn't pay – it will lessen the chances that their kids come to prison.
- 4. What strategy do we use to attract the community form outside?**
We will use relevant structures e.g. social worker, SRAC ect to invite them.
Represent ourselves well towards our visitors
- 5. What reasons do we give the community and inmates to come?**
We have to admit our wrongs and show signs of remorse.
So that we can learn from each other
- 6. What do we ask the community?**
Forgiveness and support
We asking them to accept us as we are (mercy & forgiveness)
What do they expect from us?
- 7. What if they do not respond positively?**
We kindly request again; keep trying until we get a positive response
Apply the values of Ubuntu and exercise patience.
- 8. What will we do if the community is not interested?**
Re-plan and try new approach
Keep marketing ourselves until they show interest
- 9. How are we going to get the community outside to be convinced and to know we need support?**
By changes (positive) in our life styles; by doing more positive things towards the community, starting with our friends and family
- 10. What is it that they will be participating on?**
Morals, ethics and Ubuntu
They must participate that we teach them, they must engage more with us by participating & contributing to our sessions and show support
- 11. Who do we want to come?**
Everyone and anyone interested
Prominent members of the society
- 12. How do we identify who we want to invite?**
Anyone is welcome, no restriction
By community leaders that show interest using contacts that we already have.
- 13. Which experts do we want from which fields?**
Justice Department; Social Department; Spiritual Department;
Human Rights Department; School Governing Bodies; Psychologists;
Social Workers; Criminologists; Academics; Philosophers
- 14. Can we include people from the justice system?**
Yes of course;
- 15. What structure do we need to bring them in?**
DCS Social Worker, Head of Prison
NPA, lawyers' association, Humanr Rights Comition, CPF
- 16. How do we get the officials on the platform to organize?**
Approach them
Ask for them to be invited
- 17. Is there any procedure that we need to follow?**
Yes there is a procedure; Yes, chain of command
- 18. How long will it take for the experts and everyone externally to be here?**
We send an invitation to them and wait for their response; as soon as they are ready
- 19. When should they come?**
As per invite; Depends on availability
- 20. How often should they come?**
As the need arises
As much as they can
- 21. Do we need a time table?**
Yes we do
- 22. Do we need a year plan?**
Yes
- 23. Is there a good or bad time?**
Yes; No
- 24. How do we make sure that we get the best out of each session?**
By planning and understanding
Focus, listen, commitment
- 25. What do we talk about?**
Ubuntu and its principles and values
Issues that affect Ubuntu
- 26. What next if they do not show?**
We do the follow-up; Make follow-ups
- 27. What venue will we use?**
A venue that will be enough to accommodate people expected;
Depends, preferably A-Section
- 28. How can we involve or invite other inmates?**
Through relevant structures; Notices, word of mouth, Cell announcements
- 29. How do we do marketing?**
Word of mouth; Same as 28
- 30. How do we mobilize them together?**
Externally: We inform our guests about the date, time and venue and upon arrival they will be escorted to the venue.
Internally: Members of the PAR group within the sections will go cell to cell announcing to inmates that it is time to go and also escort those interested to the venue.
By involving cell leaders and different structures with the Centre
- 31. Do we give them certificates or food?**
Certificates for attendance; Yes
Food: no budget
- 32. Is the whole group involved in setting it up?**
Yes

APPENDIX 5.4

Multi-Theoretical Application Super-Imposed on PAR Processes

Executive functioning (neuro)	Inclusiveness (community psychology)	Criminology (critical criminology)	Action Research
critical analysing; problem-solving; comparing ideas; concepts & approaches from a meta-perspective level	The community, the government and DCS are important resources/role-players to collaborate with to address relapse.	It is essential that behavioural interventions (skills/employment/substance abuse) should be accompanied by an ethical one, changing 'mindsets.	plan
1 analysing; conceptualising; goal-setting on a meta-perspective	Offenders can re-build relationships with the community by identifying and addressing obstructions (stigma/trust).	Crime can be address by offenders working with the government and community to work on solutions.	plan
2 application; reviewing; organizing; model building; brainstorming	Self-recognition as a community. Out-reach to the staff to communicate their goal. Conceiving the possibility of linking with the incarcerated and outside communities to build relationships and contribute to positive changes.	The seriousness of how incarceration fails at rehabilitation confronts the group. Suggestions testify that a multi-dimensional holistic approach is required which involves both the community, DCS and individuals. They realize that new people who come into the system are the most vulnerable and requires special attention.	action & contemplation
3 analysing processes & resources; translating ideas into action	Thinking about Ubuntu in society and the role of the group within the centre.	The principles of Ubuntu are conceived as being universal as well as specifically relevant to utilize as an intervention.	review
4 self-awareness in action; monitoring; reviewing and reflecting about action; meta-cognition	Interacting with the community, caring for and assisting the community, addressing issues the community, functioning as a community.	Various ethical issues are identified and immediately addressed mainly using an 'ethics of care' approach.	action
5 critical analyses; abstract thinking; meta-cognition; consolidation; problem identification	Interpreting community, analysing contextual factors, finding generalization and applying to current situation	The ethics of behaviour is analysed with the complex contexts in which it occurs, hereby acknowledging the different levels where responsibility and interventions should be.	review, planning,
6 meta-cognition on societal, political, individual & everyday levels	Thinking with members of the community and co-owning understanding on a meta level. Unique position in terms of making changes	The group works with the multi-dimensional aspect of unethical behaviour – how it is linked to past, present and future. Within this the position themselves in terms of agency and what can be done to effect change.	review
7 decision making; planning; organizing; goal setting	Reaching out to a vulnerable population of previous concern whom has now also asked for help. Linking with community resources to equip themselves and also to insure that a more holistic intervention is enabled.	The group addresses one contextual issue which has an immense impact on the community within as well as outside. They take deliberate steps to learn an to make effort to help others.	action

APPENDIX 5.5

EFI: Comparison of Descriptive Statistics

	Spinella (2005a)	Spinella (2005b)	Janssen et al. (2009)	Basson (2015)	Ferraro, Hansen and Deling (2018)	TotG	PreG	MPG
Population	American students and community	American community	Dutch students	South African third year students	American students	Current study: SA Incarcerated offenders		
Gender	Male	male & female	male	Male	male & female	Male		
Age: M ; SD	26.6; 10.2	29; 12.3	21.20; 3.20	21.87	20.7 ; 2.82	41.84	41.85; 8.5	46.78; 9.9
(minimum-maximum)	(17-60)	(15-83)				(27-75)	(27-75)	(34-75)
N	$n_{male} = 81$ $N = 188$	701	$n_{male} = 86$ $N = 376$	$n_{male} = 35$ $N = 203$	182	50	45	18
Motivational Drive (MD)	14.8 ($n_{male} = 81$)	14.6	15.71	11	16.51	18.29	18.15	17.78
MD SD	2.6 ($n_{male} = 81$)	2.6	2.19	2.55	2.07	2.13	2.23	2.13
MD Minimum	6	6	7 (male & female)			12	12	12
MD Maximum	20	20	21 (male & female)			20	20	20
MD α	.7 ($N = 188$)	.63	(male & female)	.6 (male & female)	.55-.74	.48		
Organization (ORG) M	18.2 ($n_{male} = 81$)	15.7	16.44	11.69	22.28	18.09	18.11	17.68
ORG SD	3.5 ($n_{male} = 81$)	4.1	3.58	3.58	3.19	3.959	3.89	3.77
ORG Minimum	5	5	7 (male & female)			7	7	11
ORG Maximum	25	25	25 (male & female)			25	25	23
ORG α	.75 ($N = 188$)	.63	(male & female)	.65 (male & female)	.55-.74	.58		
Strategic Planning (SP) M	23.4 ($n_{male} = 81$)	23.6	23.69	19.25	21.33	28.71	28.57	28.11
SP SD	4.5 ($n_{male} = 81$)	4	3.81	3.51	2.69	3.22	3.34	3.22
SP Minimum	11	11	13 (male & female)			18.6	19	23
SP Maximum	51	51	34 (male & female)			35	35	35
SP α	0.7 ($N = 188$)	.63	(male & female)	.54(male & female)	.55-.74	.31 (0.086)		

	Spinella (2005a)	Spinella (2005b)	Janssen et al. (2009)	Basson (2015)	Ferraro, Hansen and Deling (2018)	Current Study:		
						TotG	PreG	MPG
Impulse Control (IC) M	15.4 ($n_{\text{male}}=81$)	16.1	16.92	10.44	17.32	19.23	19.42	17.47
IC SD	3.7 ($n_{\text{male}}=81$)	4.5	2.35	3.69	3.19	3.49	3.67	3.71
IC Minimum		5	9 (male & female)			7	7	12
IC Maximum		25	25 (male & female)			25	25	25
IC α	.69 ($N = 188$)		.41 (male & female)	.57 (male & female)	.55-.74	.63 (0.27)		
Empathy (E) M	21.5 ($n_{\text{male}}=81$)	23.7	25.47	18.5	25.62	26.37	26.01	26.56
E Minimum	4.1 ($n_{\text{male}}=81$)	3.8	2.61	3.09	3.37	3.47	3.74	3.97
E Maximum		12	14 (male & female)			12	12	14
E α	.76 ($N = 188$)	35	30 (male & female)	.65 (male & female)	.55-.74	.56 (1.99)	30	30
EFI Total M			98.21		103.16	110.71	110.67	107.597
EFI Total SD			8.01		9.1	9.49	9.79	10.89
EFI Total Minimum			69 (male & female)			85.6	86	84
EFI Total Maximum			124 (male & female)			127	127	129
EFI Total α	.82 ($N = 188$)		.73 (male & female)	.75 ($n=182$)	.748	.69		
Second Order Factors								
Orbitofrontal (OF)							45.6	44.03
OF Total SD							4.596	5.77
Dorsolateral (DL)							46.81	45.79
DL Total SD							5.03	5.38
Medial Prefrontal							18.29	17.78
Medial Prefrontal Total SD							2.14	2.13

APPENDIX 5.6

BQ: Comparison of Descriptive Statistics

	Edwards et al (2014)	Kruger et al (2015)	Current study: TotG
Population	South African students	South African students	Incarcerated offenders
Gender	male & female	male & female	male
Age: <i>M</i>; <i>SD</i> <i>(minimum-maximum)</i>	19,48; 1.87	19.58; 1.62	41.84 (27-75) (<i>n</i> =47)
N	211	674	50
Imagery ability (IA) <i>M</i>	18.73	19.98	19.86
IA <i>SD</i>	3.49	3.07	3.26
IA α	.81	.61	.45
Mental preparation <i>M</i>	18.04	19.52	22.3
MP <i>SD</i>	3.46	3.3	2.22
MP α	.72	.57	.795
Self Confidence (SC) <i>M</i>	17.23	Removed as scale was	19.779
SC <i>SD</i>	3.96	shortened	3.24
SC α	.7		.44
Anxiety and worry management (AWM) <i>M</i>	18.42	15	15.59
AWM <i>SD</i>	4.25	5.21	4.87
AWM α	.61	.81	.73
Concentration ability (CA) <i>M</i>	15.69	18.8	16.15
CA <i>SD</i>	4.9	4.72	4.91
CA α	.73	.83	.68
Relaxation Ability (RA) <i>M</i>	16.03	16.24	18.39
RA <i>SD</i>	4.42	4.33	3.65
RA α	.81	.74	.55
Motivation (Mot) <i>M</i>	19.12	19.52	21.15
Mot <i>SD</i>	3.27	3.41	2.23
Mot α	.78	.75	.53
BQ Total <i>M</i>			133.21
BQ Total <i>SD</i>			15.96
BQ Total α	.89		.83

APPENDIX 5.7

CCS: Comparison of Descriptive Statistics

	Youman (2006)	Tangney (2012)	Tangney (2017)	Current study: TotG
Population	American incarcerated people	Short term incarcerated people	Incarcerated offenders	SA Incarcerated offenders
Gender	$n_{\text{male}} = 188$	$n_{\text{male}} = 380$	228	male
Age: <i>M</i> ; <i>SD</i> (min-max)		32; 10 (18-69)		41.84 (27-75) (n=47)
<i>N</i>	500	552		52
Notions of Entitlement (NE) <i>M</i>		2.37 ($n = 380$)	2.25	2.26
NE <i>SD</i>		0.46	0.5	0.57
NE Minimum		1	1	1
NE Maximum		3.8	4	3.8
NE α	.59; (.61, $n = 188$)	.61 ($N = 552$)	.62	.53
Failure to Accept Responsibility (FaR) <i>M</i>		2.18 ($n = 380$)	2.01	2.15
FaR <i>SD</i>		0.56	0.49	0.53
FaR Minimum		1	1	1
FaR Maximum		4	3.6	3.6
FaR α	.57; (.57, $n = 188$)	.56 ($N = 552$)	.42	.13
Short-Term Orientation (StO) <i>M</i>		2.11 ($n = 380$)	1.96	1.87
StO <i>SD</i>		0.46	0.46	0.58
StO Minimum		1	1	1
StO Maximum		3.8	3.2	2.8
StO α	.56; (.44, $n = 188$)	.51 ($N = 552$)	.49	.62
Insensitivity to the Impact of Crime (IiC) <i>M</i>		2.18 ($n = 380$)	2.07	1.87
IiC <i>SD</i>		0.52	0.57	0.53
IiC Minimum		1	1	1
IiC Maximum		4	3.4	3.33
IiC α	.56.63 ($n = 188$)	0.62 ($N = 552$)	.57	.57
Negative Attitudes Toward Authority (NegA) <i>M</i>		2.61 ($n = 380$)	2.57	2.37
NegA <i>SD</i>		0.57	.52	0.5
NegA Minimum		1	1.2	1
NegA Maximum		4	4	3.5
NegA α	.8; .73 ($n = 188$)	0.75 ($N = 552$)		.44
Restorative Justice (RJ) <i>M</i>				1.98
RJ <i>SD</i>				0.33
RJ Minimum				0
RJ Maximum				3.8
RJ α				0.77
CCS Total <i>M</i>		2.29	2.17	2.11
CCS Total <i>SD</i>		0.34	0.32	0.36
CCS Total Minimum		1.2	1.3	1.27
CCS Total Maximum		3.3	3.1	2.94
CCS Total α	.83; .79 ($n = 188$)	0.81 ($N = 552$)	.77	.75

APPENDIX 5.8

DKEFS Statistical Analysis

	N	Mean		Std. Deviation		Minimum		Maximum		25th		50th (Median)		75th	
		pre	post	pre	post	pre	post	pre	post	pre	post	pre	post	pre	post
		p value													
<u>Verbal Fluency</u>															
Total Raw Score	11	16.73	21	8.89	9.63	6	11	31	40	8	13	16	18	23	25
Total Standard Score	11	2.82	2.73	2.09	1.9	1	1	6	7	1	1	2	2	5	4
Category Switching Total Correct	11	3.18	4.36	2.86	2.73	0	1	8	9	1	2	2	5	5	5
Category Switching Total Switching Accuracy	11	4.09	6.36	3.21	2.73	1	3	9	12	1	4	4	6	7	7
<u>Design Fluency</u>															
Total Raw Score	16	19.88	24.13	5.38	6.49	14	13	32	36	16	20.25	18.5	22.5	21	28.25
Scaled Score condition 1	16	6.31	8.75	2.52	3.17	3	3	12	15	4.25	6.25	6	8.5	7.75	10
Scaled Score condition 2	16	6.25	7.63	2.46	2.45	3	4	11	13	4.25	6	6	7	8.25	9.75
Scaled Score condition 3	16	7.31	7.75	3.05	1.91	0	5	12	12	6	6	7	8	9.75	9
Composite Scaled Score	16	6.25	8	2.08	2.85	4	3	11	13	5	6.25	5.5	7.5	7	9.75

Note: * statistically significant
 $p \leq .05$

APPENDIX 5.9

Statistical Analysis of Self-Questionnaires

EFF				BQ				CCS			
Scale		Pre	Post	Scale		Pre	Post	Scale		Pre	Post
		<i>n</i> = 18				<i>n</i> = 17				<i>n</i> = 18	
MD	<i>M</i>	17.61	17.78	IA	<i>M</i>	19.29	20.47	STO	<i>M</i>	1.88	1.86
	<i>SD</i>	2.28	2.13		<i>SD</i>	2.85	3.32		<i>SD</i>	0.63	0.55
	<i>Md</i>	18.50	18.00		<i>Md</i>	20.00	21.00		<i>Md</i>	1.80	1.80
	<i>(z); p</i>	(-.39); .696			<i>(z); p</i>	(-1.41); .16			<i>(z); p</i>	(-.44); .66	
ORG	<i>M</i>	16.41	17.68	MP	<i>M</i>	22.65	22.12	NE	<i>M</i>	2.17	2.11
	<i>SD</i>	4.67	3.77		<i>SD</i>	1.66	1.83		<i>SD</i>	0.57	0.72
	<i>Md</i>	17.00	17.50		<i>Md</i>	23.00	22.00		<i>Md</i>	2.20	2.10
	<i>(z); p</i>	(-1.08); .28			<i>(z); p</i>	(-1.1); .272			<i>(z); p</i>	(-.662); .51	
SP	<i>M</i>	28.90	28.11	SC	<i>M</i>	19.90	20.02	FaR	<i>M</i>	2.23	2.12
	<i>SD</i>	2.45	3.22		<i>SD</i>	3.07	3.17		<i>SD</i>	0.45	0.45
	<i>Md</i>	29.50	28.00		<i>Md</i>	20.00	20.00		<i>Md</i>	2.20	2.10
	<i>(z); p</i>	(-.95); .341			<i>(z); p</i>	(-.11); .909			<i>(z); p</i>	(-.94); .35	
IC	<i>M</i>	17.42	15.63	AWM	<i>M</i>	15.88	16.04	NegA	<i>M</i>	2.32	2.30
	<i>SD</i>	5.01	3.71		<i>SD</i>	5.21	6.02		<i>SD</i>	0.59	0.67
	<i>Md</i>	18.88	17.00		<i>Md</i>	19.00	17.00		<i>Md</i>	2.40	2.10
	<i>(z); p</i>	(-.87); .93			<i>(z); p</i>	(-0.24); .981			<i>(z); p</i>	(-.2); .84	
EM	<i>M</i>	26.61	26.56	CA	<i>M</i>	15.55	16.06	IiC	<i>M</i>	1.83	1.82
	<i>SD</i>	3.35	3.97		<i>SD</i>	5.62	4.51		<i>SD</i>	0.56	0.66
	<i>Md</i>	26.00	27.50		<i>Md</i>	17.00	16.00		<i>Md</i>	1.80	1.80
	<i>(z); p</i>	(-1.4); .888			<i>(z); p</i>	(-41); .677			<i>(z); p</i>	(-.052); .96	
Totaal	<i>M</i>	106.95	107.60	RA	<i>M</i>	17.72	20.12	Total	<i>M</i>	2.09	2.04
	<i>SD</i>	10.82	10.89		<i>SD</i>	3.17	2.85		<i>SD</i>	0.42	0.48
	<i>Md</i>	110.00	106.38		<i>Md</i>	18.00	20.00		<i>Md</i>	2.09	2.04
	<i>(z); p</i>	(-.55); .586			<i>(z); p</i>	(-3.22); .001*			<i>(z); p</i>	(-.31); .76	
Orbito- frontal	<i>M</i>	44.03	44.03	Mot	<i>M</i>	21.29	21.06	Rep	<i>M</i>	1.29	1.53
	<i>SD</i>	7.06	5.77		<i>SD</i>	2.02	2.61		<i>SD</i>	0.42	0.83
	<i>Md</i>	45.00	43.75		<i>Md</i>	22.00	22.00		<i>Md</i>	1.20	1.20
	<i>(z); p</i>	(-.76); .445			<i>(z); p</i>	(-1.57); .875			<i>(z); p</i>	(-1.37); .17	
Dorso- lateral	<i>M</i>	45.31	45.79	Total	<i>M</i>	132.29	135.88				
	<i>SD</i>	5.01	5.38		<i>SD</i>	14.98	17.22				
	<i>Md</i>	45.79	45.00		<i>Md</i>	136.00	133.00				
	<i>(z); p</i>	(-.26); .793			<i>(z); p</i>	(-.95); .344					
Medial- prefrontal	<i>M</i>	17.61	17.78								
	<i>SD</i>	2.28	2.13								
	<i>Md</i>	18.50	18.00								
	<i>(z); p</i>	(-.39); 0.696									

Note: * statistically significant
 $p \leq .05$