The poor philanthropist III

A practice-relevant guide for community philanthropy

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UCT GRADUATE SCHOOL OF BUSINESS

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ACRONYMS

AA	Automobile Association
ABCD	asset-based community development
BCP	Building Community Philanthropy project
CBO	community-based organisation
CDRA	Community Development Resource Association
CFC	Community Foundation of Canada
CGLC	Community Grantmakers Learning Cooperative
CLPV	Centre for Leadership and Public Values
CGSI	Community Grantmaking and Social Investment programme
GRCF	Greater Rustenburg Community Foundation
GSB	Graduate School of Business
HBC	home-based care
JDF	Jansenville Development Forum
MAG	Masiphilisane AIDS Group
MSC	most significant change
NGO	non-governmental organisation
PAIM	PoC Asset Inventory and Mapping instrument
PAPM	Philanthropic Arc as Performance Metric instrument
PfC	philanthropy for community
PIME	PoC Impact, Monitoring and Evaluation instrument
PMVA	PoC Measuring and Valuation of Assets instrument
PoC	philanthropy of community
PRRA	participatory rapid rural appraisal tool
SACOFA	Southern African Community Foundation Association
ZAR	South African rands

PREFACE

This guide has its origins in a research study carried out between 2003 and 2005, the purpose of which was to explore the local ethos of caring and sharing in poor African communities. Focus groups carried out by national research teams in Namibia, Mozambique, South Africa and Zimbabwe generated rich narrative text revealing what the term 'help' means to the poor, who helps and is helped in poor communities, the forms help takes and, finally, why people help each other. This knowledge informed the first systematic understanding of 'indigenous philanthropy' in southern Africa. To emphasise the local ethos of caring and sharing and make it more visible to development organisations, it was *named*. The term 'horizontal philanthropy' or 'philanthropy of community' (PoC) was coined and the research findings documented in a 2005 monograph entitled, *The Poor Philanthropist: How and Why the Poor Help Each Other* (Wilkinson-Maposa, Fowler, Oliver-Evans & Mulenga 2005).

The findings published in 2005 sparked the interest of the development community. Practitioners and decision-makers began to ask: What does this mean for my work and how we practise the craft of community grantmaking? This question formed the genesis for a series of demonstration cases carried out between 2006 and 2008. To test PoC's application, the Community Grantmaking and Social Investment (CGSI) programme worked hand in hand with willing and interested technical advisors, foundations and trusts, applying a PoC lens to various elements of the project or grantmaking cycle and developing new instruments and ways of working. This guideline distills practice-relevant knowledge from our collective experience. It is an effort to document and share with others what we have learned so far. The skills, knowledge and insights of many practitioners, foundations and communities were mobilised and the following parties made a particular contribution:

- Doug Reeler, a practitioner at the Community Development Resource Association (CDRA), crafted the PoC in Practice guide (see Chapter 2) following a consultative workshop in July 2006 with representatives from up to 20 community-driven development organisations in southern Africa.
- Ninette Eliasov, of Community Connections, and Tinashe Mushayanyama, the CGSI project officer, developed the PoC Asset Inventory and Mapping (PAIM) instrument in 2006. It was tested in collaboration with the Greater Rustenburg Community Foundation (GRCF) and with the participation of three communities in the North West Province, namely Witrandjie, Derby and Boitekong. The leadership of Christine Delport, chief operational officer, and George Mathuse, chief executive officer, are acknowledged in this endeavour.
- Rebecca Freeth, of Strategy Works, developed and tested the PoC Impact, Monitoring and Evaluation (PIME) instrument in 2007 and tested it together with DOCKDA Rural Development Agency and Tshepong, a community-based organisation (CBO) operating in Galeshewe Township on the outskirts of Kimberly in the Northern Cape Province. This case would not have been possible if it were not for the outstanding leadership of three volunteer home-based care (HBC) workers, Doreen Nokwane, Nombulelo Mopeli and Tebogo Molao, who assumed responsibility for the organisation and facilitation of interviews with HBC clients. Gwen Mashope and Georgina Links from the DOCKDA Kimberley office and Tish Heynes from DOCKDA Cape Town were most supportive.
- Melanie Preddy, an independent consultant and associate of the Ikhala Trust, a community grantmaker supporting organisations in the rural and urban areas of the Eastern Cape Province,

developed and tested the PoC Measuring and Valuation of Assets (PMVA) instrument in 2007 and 2008 in collaboration with the ten member organisations and registered and non-registered CBOs of the Jansenville Development Forum (JDF). Specific recognition goes to the leadership of Notizi Vanda, founding director of the JDF, the Ikhala Trust Board and to Bernie Dolley, its director.

- Members of the Community Grantmakers Leadership Cooperative (CGLC), a peer learning group and project of The Synergos Institute, Cape Town, informed the development of an organisational development instrument, the Philanthropic Arc as Performance Metric (PAPM), in 2008. While this instrument remains a work in progress at the time of writing, this guide offers preliminary insight into the concepts and ideas that underpin it. Barry Smith, senior director for southern Africa of the Synergos Institute, Cape Town, and head of its regional office, and Adele Wildschut, senior manager, southern Africa programme, provided leadership in taking this work on board as a theme for the 2008 CGLC forum. Synergos also made possible the presentation of preliminary work at the Community Foundation of Canada (CFC) Conference in Montreal in November 2008.

- Debbie Newton, director of NB Ideas, and Bridget Pitt, an NB Ideas associate, undertook the task of combining individual demonstration cases into a comprehensive and standardised set of materials that can be shared more broadly with the practice community. Their efforts informed the shape, structure, style and presentation of this Guide and the web-based instruments. Ceri Oliver-Evans, director of the Centre for Leadership and Public Values (CLPV), worked closely with the NB Ideas team on refining drafts, and her contribution and careful eye are reflected in this final product.

This guide and its associated web materials are offered in the spirit of exploratory learning and sharing. We hope that our practice-relevant knowledge, while not definitive and best appreciated as a work in progress, may be useful to foundations and trusts engaged in community grantmaking on the African continent and in other locations around the world where the idea of building on organic helping system resonates.

Susan Wilkinson-Maposa
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INTRODUCTION

About this guide

This guide is intended to assist grantmakers and funders working with impoverished communities in applying a PoC lens to their practice. We believe that using this lens will significantly assist grantmakers in resolving the conundrum that has challenged the grantmaking community for years, namely: Why is it that despite their best efforts, donors *often* end up supporting unsustainable projects which may not only be ineffective, but actually undermine the fragile networks of vulnerable communities?

This question has vexed grantmakers and community organisations for many years. One aspect of the problem which has been highlighted by research is that most donor organisations have failed to grasp fully the helping networks and practices that exist within vulnerable communities.

This insight raised the question of how understanding, and working with, the practices within vulnerable communities may benefit grantmakers. To explore this, a group of researchers and practitioners who came together under the CGSI programme and set up demonstration cases with community grantmakers in South Africa to investigate and develop alternative instruments based on indigenous philanthropy practices; and to investigate whether using these instruments would deepen practice and enhance performance. While we have not had enough time to assess the long-term sustainability of our work, our initial results are extremely encouraging, and indicate that a shift in perspective towards a PoC approach may be of tremendous benefit to grantmakers and the communities they serve.

A new solution to old problems

The role of the indigenous in development

Our work has been inspired by that of Claude Ake, a respected African scholar, who signalled the importance of the indigenous to development in the 1980s. In his influential article, 'Sustaining development on the indigenous' (Ake 1988), he stressed the following:

> *The idea that a people or their culture and social institutions can be an obstacle to their development is one of the major confusions of current development thinking, and it is one of the most expensive errors.*

Why do we still have poverty despite all the money that has been invested by so many large international donors? Billions of dollars are donated every year, and still 80% of the world lives in poverty. Why are people suffering more instead of making progress?

Continued, widespread poverty despite donations and aid has led some to deduce that poor people are somehow hijacking their own development. However, far from being 'an obstacle to their own

development', our research into the organic helping systems found in poor African communities has demonstrated the depth and complexity of the resilience with which communities have coped, survived and even advanced under adverse circumstances.

Informed by Ake's thesis that sustainability lies in embedding support in the everyday lives of ordinary people, we believe that understanding, and building from, PoC (i.e. the system by which people channel resources to where they are needed for self-help and mutual assistance) is critical for effective and sustainable intervention. Yet, all too often, local systems of resource mobilisation have been overlooked or even unwittingly undermined by external support. Why is this the case?

This oversight is not due to a reluctance by the grantmaking community to understand the context in which they are working. Many practitioners acknowledge the specificity of context, including indigenous knowledge and the lived reality of the communities they are assisting. However, the local ethos of caring and sharing is largely invisible to outsiders and hence not readily accessible to development actors.

Since Ake's writing over 20 years ago, community grantmaking organisations have acknowledged indigenous practices and, in some cases, even built on them. Many do, however, continue to fall short of their promise of assisting community development. This is not because of the fallacy of Ake's arguments, but rather because major agencies have been unable to alter their own practices in such a way that they give real effect to the philosophy of building from the local and the indigenous. Often philanthropy models, when applied in an African context, rest on weak foundations and untested assumptions. As Ake remarked, this is an expensive error, with serious implications: firstly, the philanthropic field may be overlooking a major opportunity to make the provision of aid more effective and sustainable; and, secondly, these indigenous systems run the risk of being weakened or eroded by efforts of aid organisations that are applied without an understanding of the systems already in place.

The innovation

Although much work still needs to be done, we see potential for change and have gained some insight into what a PoC lens means for practice. The most powerful lesson or insight that has emerged from the demonstration case experience is that process is as important as substance. To clarify, the PoC approach urges the grantmaker to ask new questions and seek information on local helping systems. Complexity must be engaged with as the phenomenon of help is culturally invested, dynamic and often far reaching. To build from, as opposed to 'on', requires the grantmaker to change its practice – its mindset, the language it uses and how it acts. Through developing instruments, we learned that understanding PoC is not enough. Rather, the process of engaging with it is critical to success. In our experience, vulnerable communities find a PoC lens affirming and empowering in terms of recognising their assets and cultivating their resilience and ability to bring about change.

Implications

The implications of these realisations for practice may be consolidated into three key areas, which will be explored in this guideline. No sustainable intervention is possible without a thorough understanding of the features of the helping relationships in a community, i.e. PoC. In order to develop this understanding, the appropriate instruments are required in order to enable us to:

- identify the help assets and networks that already exist and operate in a community (we deal with this in Chapter 3 in the section 'Philanthropy of Community Assets Inventory and Mapping [PAIM]');

- quantify and assign financial value to what the community brings to the grantmaking process (we deal with this in Chapter 3 in the section 'Philanthropy of Community Measuring and Valuing Assets [PMVA]'); and
- monitor and evaluate change in helping practices in relation to external development interventions (we deal with this in Chapter 3 in the section 'Philanthropy and Community Monitoring and Evaluation [PIME]').

We need to assess rigorously whether and how the trusts and foundations concerned need to change in order for it to support a PoC approach. To facilitate this, members of the CGLC began to develop an organisational development instrument named 'The Philanthropic Arc as Performance Metric' (PAPM). While still a work in progress at the time of writing, the section in Chapter 4 titled 'The Philanthropic Arc' describes its core concept and outlines its potential benefits as a new lens with which an organisation can asses its practice.

Who should read this guide?

This guide and the related web-based instruments can be read without referring to its two companion monographs – *The Poor Philanthropist: How and Why the Poor Help Each Other* (Wilkinson-Maposa *et al.* 2005) and the *The Poor Philanthropist II: New Approaches to Sustainable Development* (Wilkinson-Maposa & Fowler 2009) – or it can be read in conjunction with them in order to gain a deeper appreciation of the PoC concept and how a PoC approach can offer more effective results and performance.

The instruments introduced in this guide are available on the Graduate School of Business website. Users are encouraged to download and print these instruments:

- PoC Instrument 1: PAIM: www.gsb.uct.ac.za/clpv/paim.asp
- PoC Instrument 2: PMVA: www.gsb.uct.ac.za/clpv/pmva.asp
- PoC Instrument 3: PIME: www.gsb.uct.ac.za/clpv/pime.asp

This Guide is designed for you if you are:

- a programme or project officer of a foundation or trust that implements interventions;
- an executive director or senior programme officer that designs strategy and approach;
- a board member, trustee or executive director that sets and steers pro-poor and community-driven vision and mission statements;
- a trainer or curriculum expert who designs and delivers training materials for social and community development workers; or
- a foundation or donor agency that funds community grantmaking.

Whatever your incentive or position, you will find experience and evidence generated by a community of practice in South and southern Africa which has grappled with forging alternative ways of practising the craft of community grantmaking. It is not the definitive experience, but it is 'our story' and, as a community of practice, we hope that it will be useful to others wanting to improve and deepen their practice.

Navigating this Guide

The reader is taken, step by step, through our own experiential and exploratory learning process, as we endeavour to share:

- the PoC concept and ideas used;
- how a PoC lens was applied to practice; and
- findings and insights.

The local ethos of caring and sharing among the poor was the starting point of this work. Social action research drew on the understanding of self-help and mutual assistance generated by the Building Community Philanthropy project (BCP), conducted by the CLPV from 2003 to 2005 in collaboration with research teams from Namibia, Mozambique, South Africa and Zimbabwe. Chapter 1 of this work details the key characteristics of PoC as it:

- defines community philanthropy, PoC and philanthropy for community (PfC) and what is meant by 'help'; and
- details the five key dimensions that characterise PoC.

CHAPTER 1

WHAT IS PHILANTHROPY OF COMMUNITY?

This section is a basic primer on philanthropy of community. It clarifies terminology and describes the five key dimensions of philanthropy of community.

> The phenomenon of caring and sharing for self-help is not unique to Africa or to the poor. Its practice goes back centuries, and is well established in communities around the world.
>
> In East Africa, Kenya has the tradition of *harambee* (an institution of pooling resources), in Tanzania there is *mrimo* (mutual aid in agriculture) and in Uganda, *bataka* (mutual aid in funeral preparation and process) (Kingman & Ngondi-Houghton 2004). Further afield, in New Zealand, the Maori have the concept of *manaaki* (to help or assist in various ways) (Robinson & Williams 2002), and in the USA, the Lakota, a Native-American tribe, practise *wancantognaka* (sharing not only material goods, but generosity of heart, comfort and support) (Berry 1999).

What are the core terms and concept of PoC?

The term 'philanthropy' is the foundation of PoC. Literally translated from the Greek word 'philanthropia', it means 'love of humankind'. A useful definition offered by the WK Kellogg Foundation states that philanthropy is the 'giving of time, money and know-how to advance the common good'.

From this root concept comes the idea of **community philanthropy**, which the European Foundation Centre defines as 'the giving by individuals and local institutions of their goods or money along with the time and skills to promote the well-being of others and the betterment of the communities in which they live and work'. As Gilbert (2006) points out, two key features stand out in this definition: community philanthropy is a collective act and it promotes the well-being and betterment of others.

As part of the research inquiry into indigenous philanthropy in southern Africa, the notion of community philanthropy has further been refined to identify two types of community philanthropy – philanthropy *of* community (PoC) and philanthropy *for* community (PfC). Very loosely, PoC refers to resources that are mobilised within a community for its own use, while PfC refers to resources mobilised by one community for another community. These two systems therefore co-exist.

The terms 'horizontal philanthropy' and 'vertical philanthropy' are also used to describe PoC and PfC, respectively. Vertical philanthropy signifies that resources flow one way from 'the haves' to 'the have-nots', or from a giver to a receiver. Horizontal philanthropy describes the sideways flow of resources back and forth among and between givers and receivers.

While the term 'philanthropy' is used to detail the concepts above, it is unfamiliar and not widely used in the African context in normal everyday usage. Accordingly, in practice and at the field or community level, the term 'help' is useful. This language is palatable and widely understood. It has the advantage of implying a transaction, yet not business. The definition of help we use emerged from our research into the lived reality of the poor:
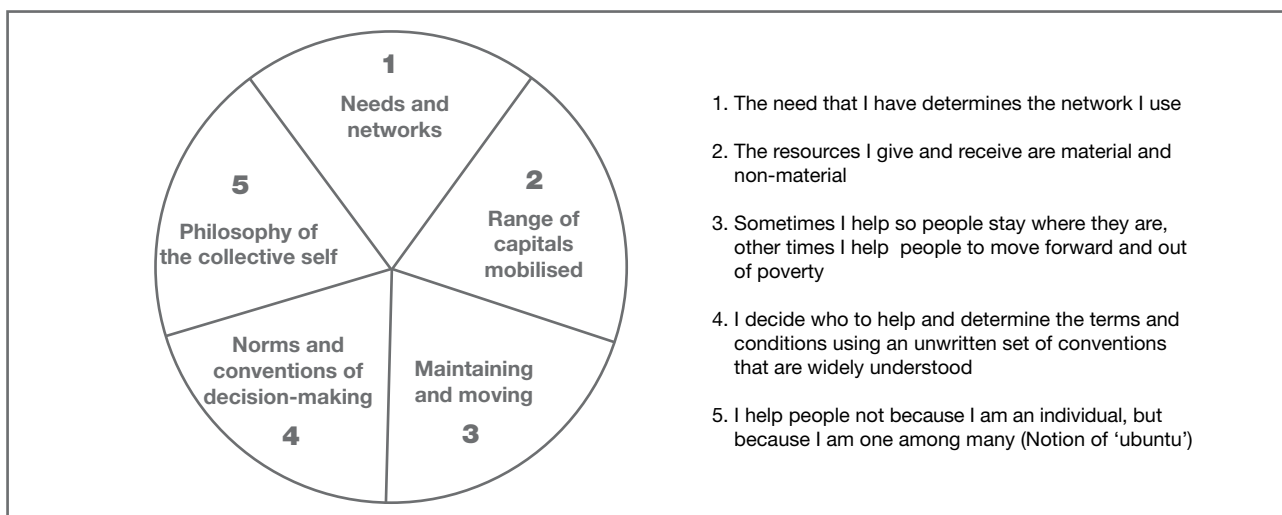
Help is the giving and/or receiving of something to satisfy or alleviate a need, a problem, a difficulty, a sense of deprivation or a lack of something, be it a tangible good/asset or ability. (Wilkinson-Maposa et al. 2005: 36)

In terms of this definition, help is a daily, lived reality and a necessity, not an exceptional event. Asking for help brings no stigma. Offering help without being asked is commonplace. Also implicit is that no matter how little you have, you give – *the act is more important than the quantum involved*. Helping brings positive feelings that can be its own (spiritual or moral) reward. To qualify as 'help', assistance cannot be exploitive or demeaning. A recipient must *deserve*. This attribute is principally judged by an individual's helping behaviour within their capabilities and it is preferable to seek help from people who understand one's situation by virtue of a shared condition or experience, rather than from outsiders.

What are the key elements of PoC?

Five key dimensions characterise PoC. They work as a system, as is illustrated in the PoC Wheel depicted in Figure 1.1. To capture the essence of each segment, a one-sentence descriptor is provided. Each dimension is also explained in detail in the text which follows.

Figure 1.1 The PoC Wheel

1. The need that I have determines the network I use

2. The resources I give and receive are material and non-material

3. Sometimes I help so people stay where they are, other times I help people to move forward and out of poverty

4. I decide who to help and determine the terms and conditions using an unwritten set of conventions that are widely understood

5. I help people not because I am an individual, but because I am one among many (Notion of 'ubuntu')

Dimension 1: Needs and networks called upon

Any individual living in poverty suffers from needs, which drive people to seek help from, and provide help to, one another. Needs can be 'normal' or 'urgent'.

Normal needs can be anticipated and planned for; are typically small, regular and frequent; and include daily use, short-term and gap-filling necessities (such as cooking oil, blankets, minding children or providing company for an elderly person). These needs are often satisfied through reciprocity between individuals and return is rapid.

Urgent needs are immediate and unplanned for. They may be generated by emergencies such as fire, flooding, death, accident and drought. They may also be dangerous levels of debt or financial constraints that, for example, prevent marriage due to a shortage of bridal price. Urgent needs require a rapid response and can demand a significant contribution in relation to available resources. This demand is often too much for one individual and requires a group or collective response, which may be spontaneous (e.g. people pooling donations and collections for victims of a shack fire) or pre-planned (e.g. a burial society, which can be called upon under agreed circumstances).

Both normal and urgent needs can be satisfied by either a group or an individual. For example, if one household has more than is needed at a particular moment, the resources (e.g. food, money or clothes) can be used to help someone in need. Alternatively, in the case of associations (e.g. burial societies, *stokvels* and rounds clubs[1]), individuals save together, usually for a specific purpose in terms of which everyone benefits in line with agreed-upon contributions.

These practices together create **networks** which can mobilise resources and address needs. Networks are shaped by needs, but also by relationships (e.g. family or friendships) or by proximity (people living in the same geographical area). Networks may also be informal (e.g. loose arrangements of mutual assistance, such as helping each other plough) or more formalised (through associations such as burial societies and *stokvels*). Through these networks, people share risk and 'invest' in future help by developing a base of different sources of assistance.

It is these networks that create the 'community' in the PoC perspective. While people often go to their neighbours for help, 'community' is not necessarily defined as those in a particular geographical area. Community is more likely to be based on the type of need and the ability of a network to satisfy it. A community can therefore be seen as a 'need-satisfaction network'.

Dimension 2: Range of capitals mobilised

Help offered may be **material** (e.g. money or goods such as blankets, food and productive assets such as materials, tools and seeds) or **non-material** (e.g. knowledge, advice, prayer, contacts, access to social networks, physical/manual support or moral/emotional support). Both types of contribution are valued highly by those receiving them.

Dimension 3: Maintaining and moving

The motivations and effects of PoC can be placed along a 'maintenance and movement' spectrum that connects help to poverty alleviation. Help may be used to stop someone slipping into further deprivation, i.e. to **maintain** someone at their current position with respect to poverty and adversity. For example, when resources are scarce for both individuals and the household, they are used to address practical and survival needs. People are generally most concerned with the present and assist one another in meeting basic, pressing needs such as food and clothing. At the other end of the spectrum, help is motivated by and used for escape from poverty and adversity (e.g. providing start-up capital and establishing a rotating credit scheme or club among friends to enable asset accumulation and stimulate livelihoods). The poor, despite a thin financial or material base, mobilise and share their resources on a regular and frequent basis. Poverty is not a deterrent to self-help and mutual assistance.

Dimension 4: Norms and conventions of decision-making

People help each other according to unwritten yet widely understood customs. The system is supported by the principle that no matter how little you have, you give; and held together by loose but binding agreements about terms and conditions.

PoC is informal and unofficial, but it is neither disorderly nor random. On the contrary, it is held together by widely accepted ways of behaving, using shared principles and conventions. These are clarified in informal but binding agreements which stipulate the terms and conditions of a particular transaction.

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1 A *stokvel* is a small-scale, informal, rotational group saving scheme. In Zimbabwe, similar informal schemes are called 'rounds clubs'.

A typical help act follows five steps:

1. A **transaction** is initiated: help is asked for or offered.
2. The request is screened: the giver decides whether they are able or willing to offer help (i.e. whether the person being helped is **eligible**).
3. Help is **offered**.
4. The actors establish an agreement on the terms and **conditions** of the help (repayment, etc.).
5. There are **rewards** or **sanctions** for following the conventions or not doing so – the actors can be corrected, isolated/not helped again, or helped again.

The ethos of offering help in poor communities is based on the following principles:

- The givers and receivers of help are **active and purposeful**. They ensure that needs are clearly communicated, and follow a known set of conventions and agreements.
- The poor **sow where the ground is fertile** by investing in and sustaining relationships of trust, respect and mutuality. Reputation is of high importance.
- Under the conditions of high need and a thin resource base (characteristic of poverty), the poor generally **expect something in return** and see resource mobilisation as an investment. The return may be spiritual, material, emotional or reputation building.
- There is also a tendency to **stretch resources**, optimising what is available. The poor pool contributions, and often combine different forms of help to circulate resources further through different circuits. Resources are also often recapitalised through loaning and borrowing individually or through groups (such as *stokvels* and rounds clubs).
- The poor adopt a **multi-pronged approach**. They do not rely on one instrument but spread risk and increase opportunity by combining those help options best suited to the need.

Dimension 5: Philosophy of the collective self

The values that underpin help are based on an understanding that people do not exist in isolation, as is expressed in the moral philosophy of 'Ubuntu'.[2] Help is not always an act of free choice, but can be driven by duty or obligation, making help something one has to do. Receiving can also be an obligation, in that rejecting help can be seen as rude or socially unacceptable. Offering help is motivated by three core principles: altruism, reciprocity and cooperation.

Altruism
The poor express altruistic giving in terms of compassion and pity. This form of giving is often prompted by religious beliefs, including a search for 'blessings', and tends to be directed at a particular recipient group, which includes the poorest of the poor, strangers and/or people who cannot take care of themselves (such as the elderly and the sick). There is a widespread understanding that one has to assist those who cannot look after themselves. In a crisis or urgent situation there is a general feeling of obligation to help, especially with regard to the formalities associated with death.

Underpinning the idea of altruism is a sentiment that you can fail to give because you don't have anything to offer – you are poor; but when you can't give you feel pained by the fact that you don't even have a little something to make you a human being among others.

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2 Ubuntu (from the isiZulu word 'ubuntu', meaning 'humanity') describes the African philosophy of 'I am who I am because of those around me'. It is a framework of thinking which celebrates the positive aspect of community.

Reciprocity

When help is grounded in mutuality, it carries a sense of obligation and commitment to return the favour. One feels obliged to help the one that helps you so that you can be helped in the future. Those who are poor know that 'while you need my help today, tomorrow I will need your help'. The notion of giving as being a form of 'savings' is therefore linked to reciprocity. In the words of one informant in the original research enquiry, 'giving is like depositing something, because tomorrow that same thing will come back to you'. This sentiment shows that help is also a strategy of personal capital formation and risk-spreading.

Cooperation

Cooperation calls on each actor to 'do their part for the good of all' and typically involves complying with a set of rules that are in everyone's interest. Community is driven by the belief that we can do together what we cannot achieve alone, and cooperation is grounded in mutual benefit. One example common in South Africa is that of communities organising voluntary neighbourhood security groups to reduce crime and delinquency in their local area, or when people pool assets through saving clubs, grocery clubs, burial societies, etc.

CHAPTER 2

PoC IN PRACTICE: THE GRANTMAKING CYCLE

Working from a PoC perspective has far-reaching implications for grantmaking practice. In the next two chapters we look at two different but related areas of practice. In this chapter we examine how PoC influences the grantmaking cycle; and in Chapter 3 we look at three specific instruments, developed through demonstration cases, that may be useful when using a PoC approach.

In this chapter PoC is laid onto the familiar architecture of grantmaking practice, the grantmaking cycle, and it explores the practical implications of working from a PoC perspective at each stage of the grantmaking cycle.

Applying the PoC concept to the grantmaking cycle

The grantmaking cycle can be divided into four broad stages, as is illustrated in Figure 2.1.

Figure 2.1 The four stages of PoC in the grantmaking cycle

Exiting

Stage 1
Building relationships and agreements

Instrument 1
The PoC Asset Inventory and Mapping **(PAIM)**

Instrument 2
The PoC Measuring and Valuing Assets **(PMVA)**

Instrument 3
The PoC Impact Monitoring and Evaluation **(PIME)**

Stage 4
Follow-up and evaluation

Stage 2
Asset-mapping – what its assets are and its potential for change

Stage 3
Designing, contracting and implementing interventions with the community

Stage 1: Building relationships and agreements

The foundation of any developmental intervention is laid with the initial relationship and understanding that is established with the community. Investment in relationships is critical to grantmaking with a PoC approach, and may determine the success or failure of an intervention.

Before any formal processes begin, it is essential to build a relationship through informal interactions. *People need to meet each other before they have meetings.* This serves two vital functions. On the one hand, the integrity of the practitioner is demonstrated to the community, laying the groundwork for an open and trusting relationship. On the other hand, indigenous philanthropy occurs in the context of these informal relationships. It is impossible to fully grasp the nuances of PoC in a specific community without good insight into the dynamics driving it.

Once some level of trust is established, the practitioner may clarify the relationship through a more formal process of contracting. *Transparency* is the key word here – practitioners need to be quite clear about their agenda, and the values and principles that drive it. All efforts must also be made to elicit the community's concerns, needs and expectations.

A tentative mutual agreement, representing both perspectives, may then be negotiated. Whether formal and documented, or more informal and verbal, this contract should be couched in the idiom and culture of the community. Agreements should also remain tentative, and only become more consolidated in Stage 3 of the grantmaking cycle.

During this initial relationship-building process, the values and principles of PoC may be shared with the community. The practitioners need to convey that:

- they appreciate and respect the PoC practices that the community already has in place;
- they wish to understand these fully; and
- they wish to offer help which enhances, rather than supplants, what is already there.

In this process, it is important to bear two fundamental points in mind:

1. **Language and transparency**
   Working with a PoC lens implies working *with* communities, not *on* them: the community should not have to participate in the practitioners' imposed processes – the practitioner should be participating in the community's processes. Transparency about one's values, beliefs, agenda, purposes and orientation to development is essential. Practitioners should also ideally come from within the culture of the community. If this is not feasible, they should ask community members to help them convey their meaning using the language, idiom and metaphor of the community. Practitioners also need to fully understand the community's way of doing things, and their concerns.
2. **Do not be blinkered by Westernised views of authentic leadership and management**
   In the interests of financial accountability, many grantmakers insist that communities or their organisations have Western forms of institutionalisation, such as constitutions, formal registration as a non-profit organisation, bank accounts and constituted committees. Communities, however, have their own forms of leadership and management. These may be challenging to work with, but over-formalised grantmaking requirements may undermine the leadership and identity of the communities one is trying to help. Modernising authentic community processes can easily introduce competitive power dynamics and a vying for resources that leaves the community worse off than before.

Relationship building is critical to this first stage of the grantmaking cycle. However, it is also critical that relationships with the community are maintained and deepened throughout the process.

Stage 2: Asset-mapping – what its assets are and its potential for change

This stage is absolutely critical when taking a PoC approach. Before you can build on PoC practices effectively, you need to know what they are. Gaining this understanding is valuable to both grantmakers and communities because it enables grantmakers to target contributions and interventions much more effectively, and to minimise the possible harm caused by these interventions. It is also directly beneficial to communities in that the process is tremendously empowering. It gives communities a strong awareness of their extraordinary resilience and resourcefulness, and encourages a sense of pride and independence. Only once this is fully and properly done can the community and practitioner negotiate the next stage of their relationship.

The process of exploring and documenting these practices is challenging. Firstly, many of these practices are deeply embedded in the community's social and cultural fabric. They are often taken for granted and hardly noticed. Secondly, many communities know from experience that interventions from the outside are usually aimed at finding out what the community needs – in terms of *what it does not have* – and negotiating a way to get resources to 'plug the deficits'. Because of this, a community may overplay its needs as deficits and underplay their assets and potential in the hope of receiving more help. They may thus be reluctant to reveal their own philanthropy because they are either mystified by the idea or are reluctant to share evidence of what they do have and how they are already helping each other.

Practitioners need to spend time developing a mutual understanding of the PoC approach, and help the community to see the importance of understanding and having confidence in the value that they already have. Communities need to understand that their philanthropy is not only worthwhile in itself, but also offers a basis for identifying real needs, and enables the practitioner to offer help that will build the community rather than create dependence. This can be a time-consuming process, but it is essential. Poor investment of time and effort in this stage will jeopardise the project's chances of future success and sustainability.

Practitioners also need to spend time at the outset of the grantmaking process introducing PoC to the community. A good starting point is asking community members to discuss the following questions:

- What is help?
- Who do you help and who helps you?
- What forms of help are used, and for what purpose?
- Why do you help?
- What difference does the help make?

Summarise the answers given, and point out what responses suggest in terms of the helping networks and practices in the community. Explain that while philanthropy (such as charity) is often understood as something that others outside 'do' for the community, we recognise that poor communities are extremely good at helping themselves and at making the most of and sharing what resources they have. Therefore, while they may be materially poor, these ways of helping each other mean that they have a tremendous wealth (or assets), which is often not visible to outsiders. If we understand how people in communities help each other, we as grantmakers can ensure that the help we give to communities strengthens these helping networks rather than weakens them.

Once communities have grasped the basic idea of PoC, you can proceed to a more formal process of mapping PoC assets.

Mapping needs, networks, and material and non-material assets
This process is an essential step in Stage 2 of the grantmaking process. Two instruments are extremely useful for this process:

- **The PoC Asset Inventory and Mapping instrument (PAIM):** This instrument sets out clear steps for working with the community to draw up an inventory of assets in the community, and then mapping them in a way that enables the community to compare how much value and assistance is contributed by various individuals and agencies.
- **The PoC Measuring and Valuing Assets instrument (PMVA):** This instrument builds on the asset map. Practitioners work with communities and organisations to list all material and non-material assets. This will include all instances of help provided by individuals in the community, as well as help obtained from agencies. It will also list all material contributions (such as food and blankets) and all non-material contributions (such as services and advice). The instrument enables practitioners to assign these assets with a realistic monetary value, and to compute and compare the amounts involved. This is extremely valuable, both as a process and in terms of the data generated. It demonstrates resoundingly the value that impoverished individuals often add to communities through PoC practices.

In the process of valuing assets, communities also draw up a relational diagram representing the various agencies and individuals that assist, or are assisted by, a particular organisation. This is invaluable in gaining insight into the needs and networks governing PoC.

More information on how these instruments were used in demonstration cases is given in Chapter 3. Detailed guides on how to use these instruments are available on the GSB website (see page 3).

The process of asset mapping and valuing, if done thoroughly, will provide good insight into the other three stages of PoC in the grantmaking cycle. The asset-mapping process is time consuming. However, the understanding it offers the grantmaker is invaluable in enabling correct planning and targeting of philanthropic intervention. It also benefits the community, bringing people together to build a collective picture of their reality and of the many resources they already command, and helps to build dignity and self-confidence, while enhancing cooperative relationships. This conscious resourcefulness is critical to the development of future sustainability.

Stage 3: Designing, contracting and implementing interventions with the community

Conventional project management demands the formulation of detailed plans at the early stages, or even prior to engagement with the community. In a PoC-centred approach, planning and designing interventions with the community only begin now.

Principles of design and implementation
The following principles should be kept in mind during this stage of the grantmaking process:

- Be honest about what kind of help you can provide.
- Help the community to gauge the potential for change and plan accordingly.
- Sow where the ground is fertile: work in areas most likely to succeed. This will boost self-confidence and enable greater challenges to be undertaken.
- Help communities to see themselves as drivers and principle partners of their own development and not undignified receivers of charity: Having helped them to value their assets and resourcefulness, encourage them to bring these as the central resources of change, to which you will add something.
- Bring help or resources to the table in the way that the community does: Mirror their culture of help in your own offer. Do not let bureaucratic requirements take centre stage in managing the relationship.
- Expect to receive something in return: PoC is based on reciprocity and the promise of repaying the favour lends dignity to the receiver. Explore authentic ways that the community can reciprocate – such as by making itself available to help other communities, or to share its learning with others.

- Ensure that the qualities that underlie sustainability are built in: How will leadership and management capacities be developed to enable increasing independence in initiating and managing future change? How may the resource base be amplified to cover future needs, presently met with donor assistance? How can the community be empowered to access resources from other sources, such as government resources, which are its right as citizens and tax payers?
- Connect the community to other communities horizontally: Connecting communities to others who face similar challenges enables them to help and learn from each other and builds solidarity for collective action to tackle wider social contextual challenges.

Contracting

At this point, a more comprehensive contract needs to be drawn up with the community to manage implementation. This should reflect the norms and values of the community as well as those of the practitioner, and deal with of the following:

- Expectations: What is expected from each party; what resources will be brought, when and how? What results are expected? What if these do not materialise? How will unexpected results be recognised and acknowledged?
- Responsibilities: Who is responsible for leading and managing the process? Who speaks for the community? Who speaks for the grantmakers?
- Monitoring and learning: How will progress be monitored? How will experience be reflected on and learnt from? How will the grantmaker's intervention be assessed by all parties?
- Reporting: How will you ensure that reporting is thorough, open and honest?
- Re-planning and adjustments: How can the practitioner ensure that flexibility and frequent adjustments of the plan are allowed, if necessary?
- Accountability: How will resources offered be managed and accounted for? How can the practitioner demonstrate the same accountability to the community that she/he expects?
- Evaluation: Who is being evaluated by whom? What and whose questions will drive the evaluation?
- Conflict resolution: How will conflict be voiced and dealt with?

Stage 4: Follow-up, evaluation and exiting

Follow-up

Even the most well-planned development projects seldom end when planned or in the way that was imagined. New and unforeseen problems and opportunities almost always emerge. To deal with these – and to make the most of unexpected opportunities – the practitioner needs an open mind and a commitment to follow-up.

Evaluating and exiting

Conventional evaluation practices have tended to be one-sided, and put the recipient community under a harsh spotlight in assessment. Communities may feel defensive or undermined, and may be reluctant to be rigorous in the evaluation process.

When working with a PoC lens, evaluation should be seen as a point after a significant cycle of work where a pause is taken by *all* parties to reflect on their collaboration; to compare the situation before the intervention to the current situation; and, finally, to identify lessons learned and their implications for the future. The lessons themselves should be appreciated as major outcomes of any intervention.

The comprehensive picture of the community developed in Stage 2 of the grantmaking intervention provides a standard against which progress may be measured during the evaluation. It enables the grantmaker – *and* community members – to answer the question: 'How have people's lives improved since then?' This may be far more useful than answering the question 'How well have we achieved our planned outcomes?', as it allows for the recognition of unexpected outcomes. It also provides a far better indicator of real change than the measuring of results against original planned outcomes, unless one wishes to evaluate the planning process itself.

A useful instrument to use here is the **Philanthropy of Community Impact Monitoring and Evaluation (PIME)**. This enables the practitioner to track both positive *and negative* changes in a community as a result of donor intervention. This is significant, as most conventional evaluation techniques do not make any allowance for assessing negative impact. The PIME process also enables the impact of donor intervention to be measured, specifically in relation to the five facets of PoC (the needs and networks called upon, range of capitals mobilised, maintaining and moving, norms and conventions of decision-making, and philosophy of the collective self). Both positive and negative changes in each of these arenas can be highlighted and assessed.

The techniques involved in PIME enable practitioners to make sense of a large amount of information collected from many participants in a range of settings. PIME is not intended to provide fine-grain or definitive evidence; but through a process of sifting and analysis it can highlight the interaction between external support and the five facets of PoC. In doing so, it flags areas that could warrant further consideration in monitoring and evaluation.

PIME is also only one instrument. In addition, you will need to use other, more conventional, monitoring and evaluation tools. Whichever instrument you use, it is important to ensure that the evaluation is a two-way process, and that it is done with full participation by the community and organisations concerned.

More information on PIME and how it was used in the demonstration cases follows in Chapter 3. The PIME is available on the GSB website at www.gsb.uct.ac.za/clpv/pime.asp.

DEMONSTRATION CASES

What was our community of practice?

As a grantmaking community, we worked with the new PoC knowledge and endeavoured to apply it in a useful way. This process began with a consultative workshop led by the CDRA. Out of this workshop, a number of organisations expressed their interest and willingness to experiment with a PoC lens by changing their practice. A series of four demonstration cases resulted. These demonstration cases were carried out in South Africa in the period between 2006 and 2008 with the support of the CGSI at the CLPV in the Graduate School of Business, University of Cape Town. Three community grantmakers, 12 CBOs and seven communities within South Africa participated in this exploration. In addition, one case, still in progress at the time of writing, involves a leadership cooperative made up of 26 grantmakers across four southern African countries.

The demonstration cases generated a rich body of information, which we have distilled in this guide for the benefit of practitioners. While each case is unique, they all in some way consider how community-driven development can leverage and build from the local ethos of caring and sharing that underpins self-help and mutual assistance, a quintessential feature of life in poor African communities. The three instruments mentioned in the previous section were developed through these case studies. The instruments in full have a set of templates and can be accessed on the internet (see Tables 3.1, 3.5 and 3.6). In this chapter we give an overview of what you can expect from using each instrument, and provide a brief summary of the case study where it was implemented.

Philanthropy of Community Assets Inventory and Mapping (PAIM)

Table 3.1 Summary of PAIM and its central focus

What is its intention?	The intention of this instrument is to bring to the surface help circuits that exist in a community. It can also help to compare how the community helps itself with how others help the community.
What questions does it answer?	This instrument allows one to address the question of where members of the community go when they have a need or a problem.
How does one use it?	It is a type of participatory rapid rural appraisal (PRRA) tool. It helps the practitioner design appropriate interventions and generates baseline data. It is important because even in cases where we recognise that communities have agency and assets that they mobilise, we often overlook the way in which they help each other as a community. It is therefore a way of surfacing and drawing attention to this important feature which is generally overlooked.
What is its benefit?	A major achievement in the development and pilot testing of available PoC and PfC assets is that it provides a profile of the 'givers'. It allows one to see the easiest and the most difficult assets that a community can access. It also provides an indication of the relative proportion of PoC to PfC activity in a community. This comparative analysis of help patterns and information can inform planning and design, providing details of potential entry points for partners.
Website	The PAIM instrument can be downloaded from www.gsb.uct.ac.za/clpv/paim.asp

Case study of three communities served by the Greater Rustenburg Community Foundation, North West Province, South Africa

The purpose of this demonstration exercise was to recognise 'help' as an asset and identify forms of agency that communities draw upon in order to address needs and bring about change. In designing support, many organisations appreciate that communities do have assets that can be mobilised – and not just problems or gaps to be filled – but that help is seldom surfaced and recognised as a distinctive feature of the asset base. We developed a way in which communities and development organisations could create a story describing the helping landscape. The application of PAIM in three communities was intended in the first instance to test and refine the instrument through use in very different contexts. Furthermore, it aimed to explore the value of comparing and contrasting community-generated information on helping for a deeper understanding of the phenomenon.

The case study concerned itself with 'taking stock'. It details the self-help and mutual-assistance assets available in the community and involves the following five templates:

1. **The Inventory Record:** Collects and details information on the PoC assets available, the givers and the receivers.
2. **The PoC Asset Mappping:** The community 'writes' its own story by visually mapping the above information.
3. **Checklist:** The information generated is consolidated into a helping landscape which surfaces peaks and troughs in assistance, critical actors, levels of accessibility, and proportionality of help by actor. This is a function of frequency (how often help is given) rather than a measure of quantum (how much is given), which is beyond the scope of this instrument.
4. **Reputable Individuals/Organisations:** Identifies helpful individuals and organisations who are guardians of the PoC ethos.
5. **Debriefing:** Sharing the results of the community for vetting and verification.

This process was carried out in three communities in the Northern Cape Province of South Africa in partnership with the Greater Rustenburg Community Foundation (GRCF). A three-day data collection and feedback process was conducted in Witrandjie (a rural tribal community), Derby (a displaced/resettled community) and Boitekong (an urban community).

The three communities – a study in contrasts

Witrandjie is located 70km north of the town of Rustenburg and the participating community comprises a population of at least 7 000 people. The government clinic offers basic healthcare to community members. A community hall also exists and hosts various community events. The PAIM exercise was held in this hall. A total of 44 people participated. Community leadership is guided by the Chief and the Chief's Council.

Derby is situated 40km south-west of Rustenburg. A mobile clinic offers basic healthcare to community members. A community hall (known as Sung Hyun Hall) was sponsored by the Jesus Korea Sungkyul Church and hosts various community events. The PAIM exercise was held in this hall. A total of 30 participants took part. A community development worker coordinates the day-to-day welfare of the community in liaison with a government social worker.

Boitekong is a township with semi-urban characteristics and is situated 20km north-east of Rustenburg. Economic activities in this area include mining, employment in town, tuck shops/taverns, transport services and small businesses. A government clinic offers basic healthcare to community members. The PAIM exercise was held in the community hall, which is built on church land and hosts various community events. In total, 53 participants took part in the exercise and seven households were interviewed. Boitekong falls under the Rustenburg municipality and is led by ward committees. Residents represent several ethnic groups (including Sotho, Tswana, Xhosa and Zulu) and nationalities of neighbouring countries (including Mozambique and Zimbabwe).

How the PAIM instrument works best

- The approach: Rather than approaching the community with the assumption that there is a lot of PoC (help), come with the attitude of wanting to learn about whatever exists.
- Community workshops are preferable over household surveys: However, household surveys targeted at members who were excluded from group activities improved participation. Individual household work also allows deeper drilling into specific points of interest that the workshop surfaced, such as key help actors.
- Best results emerge when the facilitator/researcher lets the community lead: Hand over the materials (pens, paper, stickers, etc.) to the group and let them decide how to structure the helping map. For example, they should decide what standard and coding to use.
- Encourage communities to share information that they are comfortable with: This avoids emphasising sensitive information that can be uncomfortable for some.

When applying PAIM, one should be on the lookout for:

- A situation where the community conforms to the ways of working that are preferred by the researcher/facilitation team: This did not work well in Witrandjie when we tried to standardise the approach and the colour-coding for mapping. In the end we generated a map useful for us rather than one that is useful to the community.
- Gender dynamics and restrictions in participation: Help norms informed by a gendered as well as age-based division of labour provide a rationale for dividing groups by sex and age.
- Organisational readiness: Have a clear sense of intention and capacity before entering the field in order to avoid starting something that you cannot sustain.
- Bias: Explore both material and non-material forms of help and be careful not to over-emphasise external help. Rather, emphasise the richness of PoC in the community by finding different ways to draw this out.
- Methodology: Avoid household surveys alone as it is difficult to motivate informants individually. People seem to learn in groups and were motivated to participate when others did.

Comparing and contrasting helping community landscapes offers insight into trends and patterns. Some preliminary insights and interpretations about force fields include:

- Modernity and urbanisation impact negatively on the flow of PoC resources: Some people in urban communities do not care about what happens next door. There is an increasingly heavy reliance on external, aided change in urban areas.
- The flow of PoC resources is influenced by the length of time people have been living together: Social bonding was more pronounced in the rural areas. However, in Boitekong a certain family had been living in this community for less than a year and did not have a full sense of the community's help circuits.
- High degrees of poverty may result in greater bonding in the community: In Derby, for instance, everyone shares the threat of eviction, which means they fight for a common cause.
- Poverty brings shame that can result in some excluding themselves from participation in the community and its helping systems: Tribal and boundary conflicts/restrictions are a force field that impedes PoC resource flow.
- Communities do a lot for themselves, but both the community itself and the external agencies often do not notice this: We cannot ignore PfC (external aid) – there is a point when PoC alone is not the solution.

The following sections show the information PAIM surfaced and how it was captured.

The PoC asset inventory

This process generates a list of PoC resources identified by the community. Table 3.2 outlines the data collected in the asset inventory in all three communities.

Table 3.2 Inventory of helping assets available in each participating community

Community	Material assets	Non-material assets
Witrandjie	Money Medicine Food Blankets Clothes	Homework support, assistance with getting grants, accommodation, transport, healthcare, assistance with building and construction, advice, counselling, problem-solving mediation, care for seniors, protection, hair dressing, information, fetching water, cleaning, cooking, foster care, burial support
Derby	Clothes School fees Soap Medicine Money Food	Lobbying and advocacy, weddings/celebrations, fetching wood, counselling, care for seniors, protection, cooking, advice, fetching water, assistance with building or construction, mutual support (e.g. in cases of fire), accommodation, healthcare, assistance with getting grants, burial support, access to telephones
Boitekong	Food Soap Money Clothes	Care for seniors/elders, weddings/celebrations, healthcare, advice, lobbying/advocacy, cooking, transport, mutual support (e.g. in cases of fire), assistance with building/construction, assistance with getting grants, protection (street committees), funeral support, counselling

Communities also listed the help actors in their community. Table 3.3 is an extract from the lists generated for Boitekong. While not complete, it is illustrative of the information collected.

Table 3.3 Available help actors in Boitekong

Individual actors	Help given
Name withheld	Skills transfer, modelling training, ideas and information
Name withheld	Food, productive assets/computers, preparing corpses, first aid, care for orphans, washing the disabled, counselling, HIV/AIDS guidance
Name withheld	Food, blankets, mutual assistance, funerals and other basic needs
Name withheld	Advice, funeral preparation
Name withheld	Food
Institutional actors	**Help given**
Islamic church	Blankets
Boitekong College	HIV/AIDS information
Church	Counselling and comfort
Business actors	**Help given**
Anglo American mine	Productive assets/computers
Disanang funeral parlour	Transport
Government actors	**Help given**
Clinic	Medication, treatment
Department of Labour	Occupational health and safety information
Letahbong Legal Advice Centre	Advocacy on inclusive education
Councillor	Information, accommodation, shelter, decision-making, lobbying
Department of Social Welfare	Care for seniors, social grants
Department of Justice	Information on family violence, small maintenance claims

NGO actors	Help given
Mahube trust	Cash, business plans
Community Development Centre	Business plans
CBO actors	**Help given**
Street committee	Money
Women's league committee	Money
School governing board	Money
Itereleng's early learning centre	Food, clothes, childcare
Street committee	Food, blankets
Lebone Kopanang	Advocacy on inclusive education, ID documents, assistance for the disabled in starting businesses, venues, healthcare, care for orphans
Pension fund committee	Assistance with grant applications and leadership skills for the disabled
Community policing forum	Protection
Toplogo caregivers	Washing the sick, providing medicines, visiting patients, education on HIV/AIDS
Boinelo cooperative	Cleaning streets, cutting grass

PoC asset maps

Once a PoC asset inventory was completed, the community drew their map of help. The help frequency counts obtained from the 'dotabase' (i.e. community maps that record citations of help transactions by actor) illustrate, from a community perspective, the proportion of help generated through PoC which comes into the community through external resources. Figure 3.1 is an illustration of the map that Witrandjie participants constructed using stickers, markers, pins and pieces of clothes. Figure 3.2 illustrates the computer-generated pie-chart representation of this data.

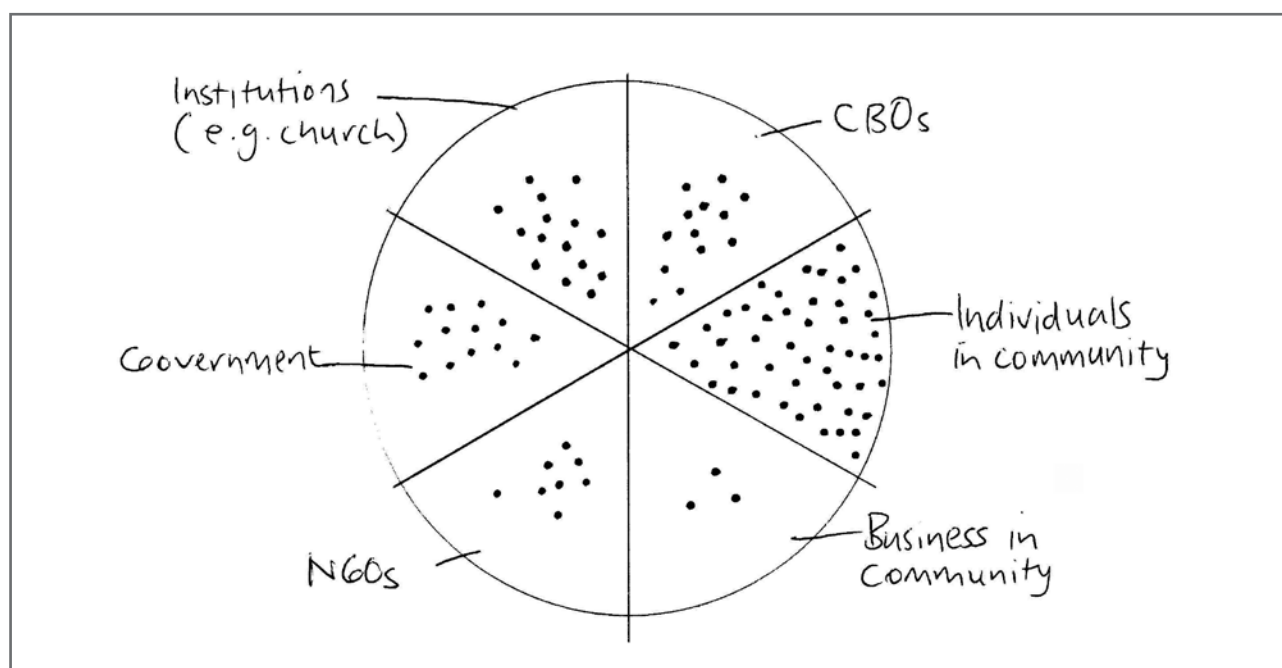**Figure 3.1 Consolidated asset map generated by Witrandjie participants**

Table 3.4 compares the proportion of help given by different actors in the three communities. It is clear from this that communities are doing things for themselves. This information challenges the widespread notion that communities such as these are merely recipients of help and aided change.

Figure 3.2 Witrandjie help-actor proportionality
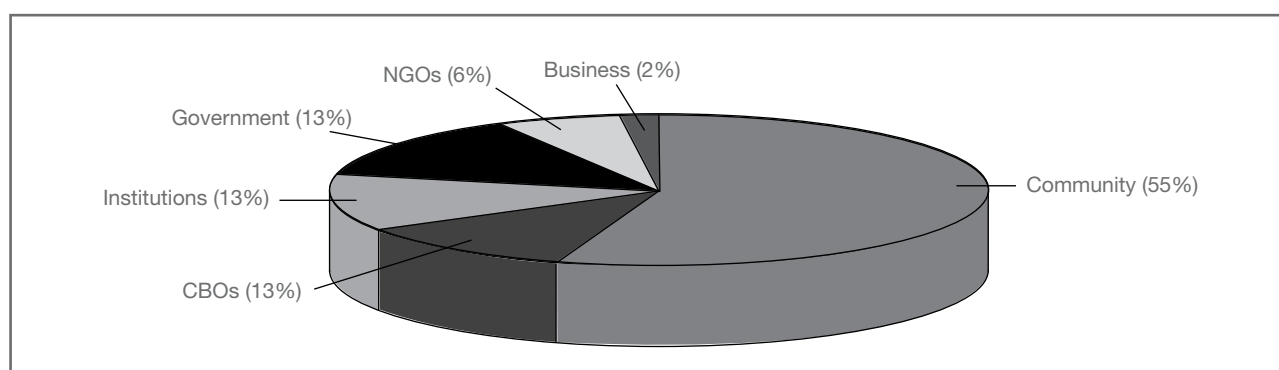
This information is not intended to imply that external help is not important or critical; instead, it is intended to highlight the fact that there are opportunities for organisations to partner with communities and build on what they already do for themselves and where they commit their own resources.

Table 3.4 Comparison of help given by actors in the three participating communities

Rank	Witrandjie		Derby		Boitekong	
1	Community	55%	Community	55%	Community	45%
2	Institutions	13%	Government	27%	Government	23%
3	Government	13%	CBOs	11%	CBOs	20%
4	CBOs	11%	Institutions	5%	Institutions	5%
5	NGOs	6%	Business	2%	NGOs	5%
6	Business	2%	NGOs	0%	Business	2%

Findings and interpretation

PAIM generated insight into the local reality of internal and external assistance. An organisation can use this knowledge to inform the design and monitoring of projects, interventions and their impact. Furthermore, the PAIM process has the power to change community perceptions about themselves through both the process and the information generated. The GRCF reflected seriously on what the information could mean for support and engagement with communities. Preliminary reflections are as follows:

- Encouragement for communities to continue helping themselves is needed. To build up their consciousness about themselves, communities could repeat the PAIM process on their own.
- Many opportunities for partnering with CBOs, institutions and government exist.
- There is a need to lubricate the provision and access to productive assets in all three communities.
- There is a great challenge to help people organise themselves in a formal way, especially in one of the communities. This will make it easier for external organisations to fund projects in these communities.
- Comparatively, businesses are doing less and the GRCF, through advocacy programmes targeted at this sector, may need to challenge them to reconsider their practice to fund in ways valued and recognised by the community.

In closing, it is worthwhile to consider the following comments offered by participants in the communities:

- 'We now realise that when we need help it is available within our own community.'
- 'We have found out that we are rich in our community and can offer something. We are not entirely dependent on outside.'
- 'We now realise that we have the ability to do things on our own.'
- 'By volunteering at a primary school, I have leant that I have been doing good.'
- 'We have seen that we as a community are not empty, we have learnt a lot and discovered that we have the ability and can do much to access help for our development. We feel proud of what we have – this was an eye-opener for us. Through the [asset] map, we can see that with all the strengths that we have we can do better than we do at present, we can start awakening our culture and tradition of help called Botho/Ubuntu.'
- 'We have been helping each other, but not seeing that. I feel excited and educated about the process; there is so much that we can do within ourselves, with unity and understanding we can go far. Everything is possible when there is unity. Through the [asset] map, we can see that we have been helping each other, the cooperation and respect is there. We thank you and would like to keep the partnership strong.'
- 'This has been useful for us as we now understand better that we have skills (e.g. brick making and hair dressing) within us that we must be proud of. People are able to help one another without expecting anything in return. If we can be united and love one another in our village, we can go far as most of the help we get in this village comes from within. We don't receive much help from the outside. We realised that we are doing a lot for ourselves; what we need is help from the outside for us to achieve more.'

Philanthropy of Community Measuring and Valuing Assets (PMVA)

Table 3.5 Summary of PMVA and its central focus

What is its intention?	The intention is to determine how much help is mobilised within a community and then assign a financial value to that help. Part of its process is to empower communities and build up communities' awareness of the resources that they mobilise themselves.
What questions does it answer?	This instrument allows one to address the issue of what is the equity that exists in a community and that they bring with them to the grantmaking table.
How does one use it?	This instrument is used at an organisational CBO level. Working from an established set of questions that help a community focus on and put a value to its contributions, it enables one to tell a story about how an organisation helps itself.
What is its benefit?	The benefit is that the community begins to see itself differently. Community organisations can therefore start telling a different story about resource mobilisation in the community. It gives a fuller story. It is potentially an advocacy and fundraising tool.
Website	www.gsb.uct.ac.za/clpv/pmva.asp

Case story of what the community brings to the development table: The Jansenville Development Forum (JDF), Jansenville, Eastern Cape, South Africa

In Jansenville we concerned ourselves with the equity that a community brings to the development table, setting out to develop and test a process and technique to determine:

- the amount of volunteer time, money and other in kind/goods that a community contributes to its own development; and
- the financial value of these contributions.

Figures exist for municipal expenditure, provincial government allocation and corporate social investment as well as other forms of development assistance. However, what is missing are numbers and figures that value the contribution that citizens make through volunteer time, skills, goods in kind and money to local initiatives. We felt this contribution was important, something to be aware of, have confidence in, and which could potentially attract external resources to the community. The participants in this case certainly found the process eye-opening, encouraging, inspiring and transforming.

Jansenville is a small Karoo town in the Cacadu District of the Eastern Cape Province; a farming area where the wool and mohair industry is the backbone of the economy. The following are some of the many organisations and individuals involved in this collaborative learning exchange:

- the CGSI;
- the Ikhala Trust; and
- the JDF (an umbrella body of CBOs), consisting of the following member organisations: Camdeboo Hospice, the Ezwezwe Information & Technology Centre, Ikhala shoe factory, Ikwezi educare centre, the Jansenville advice office, Masiphilisane AIDS Group (MAG), the Jansenville Chicken Project, Khayelizwe burial society, Nomfuneko feedlot project and the Sinethema knitting project.

In planning this research we decided to work in Jansenville because the community is pro-active in enhancing its own well-being and livelihood. They are doing a lot to help themselves and are actively drawing on local associations and organisations. However, despite all these efforts, no one can tell you *exactly what* and *how much* the community mobilises.

The Jansenville Development Forum

The JDF was launched in 2000 and is an umbrella body of ten CBOs. It mobilises and organises from within the community to incubate capacity. Rather than introducing new associations, the JDF builds up the leadership that exists and nurtures within it a common interest and desire to 'move'.

In creating the space for local associations to 'discover' themselves, the JDF is supported by the Department of Social Development, works closely with the Jansenville municipality and is an Ikhala Trust grantee.

The approach to developing this instrument

Tools and techniques were developed to measure and assign a value to what CBOs, NGOs and faith-based organisations received from people in the Jansenville community. Over a six-month period we:

- agreed on what we wanted to do and who would be involved;
- developed an information-collection technique, tested and refined it;
- collected information from the ten CBOs and the JDF;
- analysed the findings and converted numbers to a financial value;
- wrote up the information into a two-page summary for each member, detailing 'who we are, what we do and how we help ourselves' – this included a 'community time, talent and treasure chest', as well as a map of each organisation's community of help, citing all the other organisations they help and get help from (see the box on the Khayalesizwe burial society at the end of this case story); and
- shared and discussed the information with organisations asking: 'Is the information correct, what does it tell us and how can we use it to help ourselves?'

There were six main steps to the process:

Step 1: The **organisational profile**
Step 2: **Taking stock** of what you have and what you have achieved
Step 3: The **scribble sheet**
Step 4: **Recording** the amount of community help given
Step 5: The **tally sheet**
Step 6: The **converter sheet**

It may sound like a lot of work, but the entire data collection process only took about two-and-a-half hours for each organisation and we found the process as important as the information itself. In carrying out this case story, we had to make several decisions and we agreed:

- to gather data retrospectively for the previous 12 months.
- that a member of the JDF staff would work closely with the facilitation team to assist with the interviews and translation and give advice on the local context. This would ensure that a local person would be able to assist the JDF in replicating the process in future.
- the most critical informants would be those who were involved in the day-to-day activities of the organisation/association. Four or five project members would be the ideal size for a group to get a broad spectrum of information and discussion. As we were taking a 12-month retrospective view, recall and memory were important. This number of people was considered sufficient to 'prompt' one another's memories.

Factors for consideration

In the process of developing this instrument, several specific issues relating to measuring and valuing help emerged; such as:

- Situations are sometimes complex and no two organisations are the same: One of the organisations had regular funding for staff remuneration, so there was less community giving. Another organisation relied on voluntary labour and other donations for the first seven months of the year, and after securing a large client to purchase their outputs, began to receive regular wages. Staff members did however continue to make voluntary contributions to certain activities.
- There are various interpretations of the term 'volunteer': In South Africa many 'volunteers' receive regular stipends. Increasingly, we spoke less about voluntary time and focused on the terms 'paid' and 'unpaid' time.
- Flexibility is required in establishing a rate for labour: In order to arrive at an hourly or daily rate for labour, we used what made the most sense for an organisation. In some cases, comparably paid work in the local area was discussed and rates were established on that basis. In other cases where organisations had received funds in the past and staff were remunerated, those rates were used to assign a value to labour time.
- Adding up and valuing in-kind contributions is problematic when working retrospectively: Due to the varied nature of the in-kind contributions and the retrospective nature of the study, it was decided to merely describe the in-kind contributions rather than try to put a monetary value to them. If this exercise were done in real time, it would be easier to keep track of the financial value of in-kind contributions. However, for a retrospective assessment it was cumbersome and not very reliable.

- Relying on recall has its pitfalls: In a retrospective study, recall (how much people can remember and with what level of reliability) is always a concern. In our experience, we found that the help associations received was reliant on volunteer work schedules. While regular schedules are often written down, in some cases help is so unusual or sporadic (such as the donation of a sign for an organisation or a tea set for a fundraising raffle) that the group relies on memory to record it. It is therefore necessary to build in a margin of error for estimates of help given based solely on memory.

The objective in developing this instrument was to work out how to assign a financial value to community contributions. In South Africa, it is possible to use two different economies in assigning a monetary value: the formal economy and the local economy. To illustrate, if an individual provides transport for the members of an association, the 10km distance could be valued at the South African Automobile Association (AA) rate (a widely accepted standard) or the value could be pegged to what someone in the community would pay if they stood on the side of the road and hitched a lift. At the AA rate (the formal economy), one would pay (ZA) R2.95 per kilometre for a 10km journey and it would therefore cost you R29.50. However, when catching a lift of the same distance in Jansenville (the informal economy) one would pay around R5.

A similar situation occurs when valuing labour. One can use the minimum wage rate established by the South African government for different levels or classes of work, or you could use the value that individuals consider fair and appropriate. We kept it simple and asked people for the financial value that made sense to them. People had no trouble doing this and offered the following:

- for HBC volunteers they used the government's stipend of R1 000 per month as a benchmark;
- for the employees working on the chicken project they used the wages that a local commercial poultry farmer pays his staff;
- for the educare centre volunteers they used the rate paid to the centre's gardener for a five-hour day and turned it into an hourly rate;
- office workers which had a salary for six months of the year calculated the value of the salary they would have received annually based on what they did receive; and
- trainers in computer skills said they would expect to receive a salary of at least R 2 000 per month if they were formally employed.

Findings and interpretations

The total of the combined number of volunteer hours and cash contributions received by the ten CBOs and the JDF were added up and a financial value assigned. The results were impressive and our calucalations revealed that a total of R371 150 was mobilised, comprised of R341 938 (41 555 volunteer labour hours) plus R29 212 (direct cash contributions). This does not include the many forms of in-kind contributions made within the community, such as:

- bringing food to work to share with volunteer colleagues;
- loans of personal vehicles;
- using private telephones for organisational work;
- donation of prizes for fundraising events;
- sharing knowledge and passing on skills;
- donating materials and equipment in the start-up phases of income-generating projects; and
- providing access to municipal land and buildings at nominal rates.

The 41 555 volunteer hours translate into a total community contribution of 19 years and eight months of 'volunteer' labour in the year under review. This calculation is based on an eight-hour day

and 22 working days a month. This high rate of volunteer time is attributable to the fact that only the JDF and six organisations received any grant funding during the period. Of these, some had only received funds for part of the year. Only one organisation had staff that had been paid for the full 12 months. Members of two organisations (which both ran income-generating projects) worked as volunteers for 11 months, receiving remuneration only in December as a once-off gratuity from the government. Eleven months were unpaid and considered voluntary labour time.

The R341 938 value of the 41 555 hours of labour time was calculated by adding up the assigned comparable local values for paid work, ranging from R5 per hour to R22 per hour. The impressive sum of R371 150 was generated by 4 343 people across 378 households where 60 per cent of families are considered by local government as living in poverty.

The CBO response

We fed these results back to the community to find out how the organisations thought they could use the information to benefit themselves. We learned that some changes were already taking place and attitudes and practice were shifting:

- Some of the organisations had begun to record their community contributions. One organisation had done their own tally and said they agreed with our estimate.
- One individual had conducted the process with her church group, and they had been surprised at the results.
- Organisations reported that this recording and valuing of contributions was having a motivational effect on their volunteers and other staff members. People now saw 'over-time' and 'going the extra mile' as something positive rather than a burden.
- One income-generating project had members who were looking for greener pastures, but once they saw the value of their contribution in building the organisation, they decided to stay and build on their 'investment'.

In thinking about how to use this information, members of the community came up with the following:

- 'In our fundraising, we can now point to our local contribution or local income with confidence because we have a value for it. We no longer thumb-suck our own contribution.'
- 'We have a clearer picture of the value of our relationships with other organisations, which points to sustainability and could also motivate stronger relationships.'
- 'We are already using the information to motivate project members to keep doing the work and also to motivate new volunteers.'
- 'We can give this presentation to visitors who will get a different picture of our organisation than they usually do just from a meeting.'
- 'This makes us more confident to approach funders; we don't feel like beggars.'
- 'We can use this information to build from the inside out … to strengthen ourselves'.

In terms of moving forward, the JDF, its members and the Ikhala Trust agreed to round off the demonstration case process by holding a meeting to 'launch' the findings. The JDF would invite stakeholders with whom they have relationships as a way of acknowledging them, as well as other stakeholders who would benefit from being exposed to this approach to community assets, including government departments. The success of the demonstration case in measuring and valuing community assets was echoed in the following statement by Notizi Vanda, the director and founding member of the JDF: 'Funders want to know that we will still be there after their money is finished. Our members fill our bucket, it shows their sustainability, and that they can stand on their own.'

The Khayalesizwe burial society is an example of how the PMVA was implemented.

Khayalesizwe: Helping families bury their loved ones with dignity

The Khayalesizwe burial society was formed in November 1994 to provide funeral insurance for its members. Initially, members paid a R7 joining fee and a monthly subscription of R10 per family. Over time, the fees have escalated, and at the time of writing the joining fee was R60 and the monthly subscription R30 per family.

In 2000 Khayalesizwe decided to buy its own coffins and build an office; and in 2003 it joined the JDF and received a grant of R15 000, which went towards buying a mortuary fridge for R36 000. These changes were all made in an effort to keep the cost of funerals as low as possible, as members were predominantly poor families.

Additional cost-saving services include providing shrouds and lending crockery and cooking utensils to bereaved families for funeral catering. The society has also recently acquired a second-hand car, which is being converted into a hearse. Once this conversion is complete, it will mean an additional saving on hearse-hiring costs.

Khayalesizwe currently has 500 member families, drawn from Jansenville and Klipplaat. At any given time, between 200 and 250 members could be in arrears with their monthly subscriptions. There are rules to limit the time frame for arrears, and at a certain cut-off point members no longer qualify for benefits. Project leaders do, however, make exceptions for families, as there is a high level of unemployment in the community and the society does its best to keep costs down while still providing a good service.

Having received only one grant to contribute to the purchase of a mortuary fridge, the society now proudly owns its own building, mortuary facility, coffins, catering equipment and (soon) its own hearse. All these assets have been created by relying on internal resources and creative and forward-thinking leadership.

Figure 3.3 illustrates the Khayalesizwe help network and shows that members are the society's most important source of help, together with the JDF and the other burial societies it cooperates with.

Figure 3.3 The Khayalesizwe burial society help network
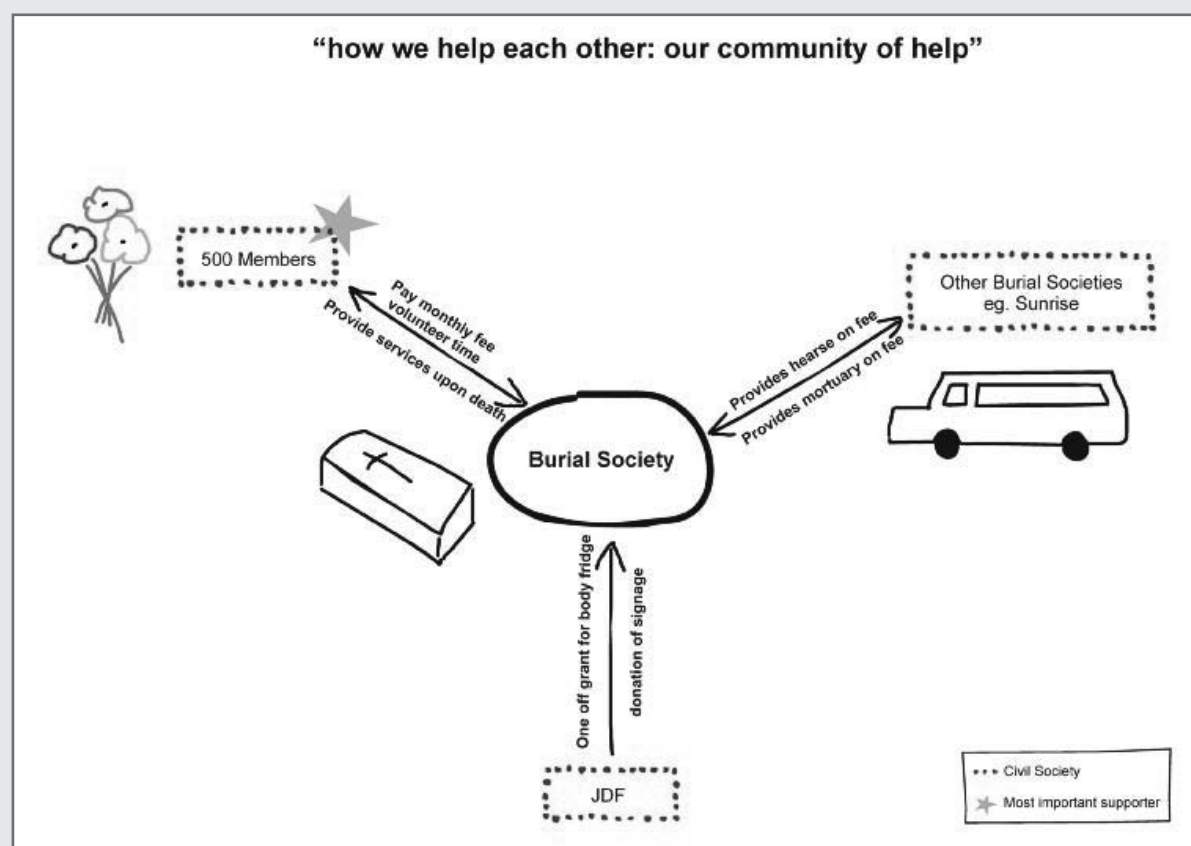
How we help ourselves: Community time, talent and treasure chest

- The treasurer spends about five hours a week on administration and book-keeping – a total of 264 hours of unpaid work (valued at R2 112).
- Four collectors each spend about 30 hours a month visiting members to collect membership fees – a total of 1 440 hours (valued at R11 520).
- Ten members spend about two-and-a-half hours in meetings each month – a total of 300 hours annually (valued at R2 400).
- Many members give moral support to bereaved families and sometimes the society bends the rules for families who really have nothing.
- The society negotiates prices for buses, the hearse and other funeral expenses, and sometimes the society receives discounts which helps to keep costs down.

What we do: The activity list

- Provide financial assistance to members for funerals.
- Collect membership fees.
- Keep records and bank membership fees.
- Provide coffins for members.
- Provide a mortuary service.
- Lend catering equipment and crockery.
- Provide emotional support to members.
- Provide a full funeral/burial service to members.

Philanthropy of Community Monitoring and Evaluation (PIME)

This is an instrument that assists communities and donor organisations to assess the impact of interventions. It is a way we can track or flag for follow-up the point where external and internal help systems meet.

Table 3.6 Summary of PIME and its central focus

What is PIME?	
What is its intention?	The intention of this instrument is to get a handle on whether external assistance supports, distorts or has no effect on internal help systems. We did not expect to develop fully-fledged monitoring and evaluation indicators. The instrument was therefore limited to surfacing the issues that should be monitored.
What questions does it answer?	It addresses what impact external assistance has on how communities help themselves. This is important because one should obviously not leave communities worse off than how you find them; yet the reality is that in development practice not enough is known about the impact grantmaking has on peoples' ability to help themselves.
How does one use it?	This instrument is revolved around story-telling. We used the most significant change monitoring and evaluation technique as a basis and applied the five dimensions of PoC to it.
What is its benefit?	It brings to the surface dimensions of PoC that are potentially affected (strengthened, depleted or distorted) by external support. It has potential to inform and influence the performance metric and indicators for monitoring and evaluation.
Website	www.gsb.uct.ac.za/clpv/pime.asp

Case study of the effect of a development intervention on how the community helps itself

This particular case study concerns itself with how external assistance affects a community's self-help systems. In this example the intervention is HBC and how, if at all, it impacts on local norms and behaviours related to caring for the sick. The case sets out to develop and test a participatory process and instrument that would:

- signpost the points where external and internal helping systems meet; and
- indicate the quality of interaction, by asking: Does external assistance support, diminish or have no apparent affect on local helping systems?

The case grappled with the implicit assumption prevalent in development practice that the mobilisation of external resources (usually money) for poor communities is inherently a good thing. Least harm is generally assumed rather than tested. As a result, there is a relative dearth of targeted indicators for tracking and monitoring the impact of development assistance on a community's ability to address need, create opportunity and bring about change through the mobilisation of its own assets and agency for help.

The primary worry comes from the fact that poor communities rely on local traditions of caring, sharing and reciprocity. In the final analysis, when external support is withdrawn, what a community has to fall back on is their own safety-net of self-help and mutual assistance. To inadvertently weaken or diminish this system through a development intervention could have unintended consequences. A central question therefore rose to the surface: Would the community in fact be worse off when development support is withdrawn if the local systems of giving and caring were diminished in the process of development assistance?

A key indicator of sustainable community-driven development should be the effect that external support has on the quality (i.e. health and robustness) of the local helping system. Our approach drew on the five dimensions of PoC to test the assumption of least harm and to expand the range of indicators that can complement more conventional dependency indicators, including capacity building, ownership and participation.

This case study was carried out in Galeshewe Township, home to over 100 000 people living on the outskirts of Kimberley, a city in the Northern Cape Province of South Africa (most famously associated with diamond mining). Galeshewe, originally built under apartheid legislation as a township to house the area's black population, dates back to 1871. The township is one of the 22 poorest areas in the country and has been declared a Presidential Poverty Node. While access to basic services is relatively high, with nearly 80 per cent of housing being formal, the unemployment rate is extremely high at 74 per cent and the population profile is young, with people under the age of 29 years making up more than 60 per cent of its population.

Many organisations and individuals were involved in this collaborative learning exchange, and key role-players included:

- the CGSI;
- DOCKDA Rural Development Agency's office in Kimberley; and
- Tshepong, a CBO.

Tshepong

Tshepong provides HBC for the terminally ill in Galeshewe township. In 2006/2007, 22 HBC workers, all volunteers from the community, looked after over 360 patients with weekly visits. These HBC workers receive a modest monthly stipend from the Department of Social Services. Tshepong works hand-in-hand with the church, government and other not-for-profit service providers, including shelters for women and care centres for children. The organisation is the largest of its kind in the township.

HBC workers visit and wash patients. They provide emotional and spiritual support, physical assistance (a wheelchair and ambulance) when necessary and material assistance, including food parcels, porridge, blankets and second-hand clothes. With the assistance of a professional nurse, seconded full-time from the Department of Health, Tshepong renders essential health services, including the provision of information about HIV/AIDS. They monitor each client's health and well-being, which is documented monthly and sent as a report to the government. Beyond healthcare, HBC workers provide advice and support that facilitates

the accessing of identification cards, which are required to access social-grant entitlements, as well as other social services. In 2007 two secondary services were set up to complement HBC: a community vegetable garden, hosted by a local school, which provides fresh produce, and a soup kitchen, run every Tuesday from the back door of the office, which feeds patients, orphans and vulnerable children.

The approach to developing this instrument

We used the most significant change (MSC) technique for monitoring and evaluation and Rick Davies and Jessica Dart, who developed and tested this tool, have produced simple guides to its use (www.mande.co.uk/docs/MSCGuide.htm and www.clearhorizon.com.au). The technique gathers stories from ordinary people about the changes they have experienced and highlights the most significant of these changes. There are four main phases to the MSC process:

1. **Prepare:** Get started by establishing champions and becoming familiar with the approach; establish 'domains of change' and define the reporting period.
2. **Implement:** Collect stories of change, review them and provide feedback.
3. **Analyse:** Set in place a process to verify the stories and conduct secondary analysis of them.
4. **Learn:** Revise the MSC process as necessary.

To generate stories we asked a central question: What do you think has been the most significant change in how people help each other in Galeshewe since Tshepong started offering its services to the community? The stories were analysed using the five PoC dimensions as the domains of change and we crafted the framework outlined in Table 3.7 as a guide.

Table 3.7 PoC change domains – a framework for MSC story analysis

PoC dimension	Feature of change	Further considerations
Needs and networks called upon	Has how people rely on and use each other for help altered in any significant way?	In what way has the PoC landscape or profile reconfigured? Are there different peaks and troughs? Has the frequency of normal and urgent needs changed in any significant way? Are people using different social networks and help circuits to satisfy needs?
Range of capitals mobilised	Is there a different content profile or transaction pattern/norm?	Has the weighting, importance or frequency given to material and non-material forms of help altered? Are people giving more or less material or non-material help than before?
Norms and conventions of decision-making	Has there been a shift in eligibility criteria and decision-making processes?	Are people more or less likely to offer help and be helped than before? What are the rationales for changed decision-making about helping?
Maintaining and moving	Are people generally better or worse off now than before?	Does the community have more opportunities to 'move' and improve their situation than before? How have life chances/well-being been affected?
Philosophy of the collective self	Have motivational principles shifted?	Has the collective self/individualism profile of helping behaviour reconfigured? Is there more or less reciprocity? Do people work more or less collectively/collaboratively?

Over a three-month period we then:

- identified three HBC workers to lead the story-collection process;
- framed and tested the MSC question for prompting stories and the five PoC categories for analysing these narratives;
- collected MSC stories from HBC workers and Tshepong management committee members;

- collected and tape-recorded stories from 20 patient households (this was done by HBC workers);
- analysed stories in terms of what they reveal about changes in local helping systems (this was done by the CGSI and DOCKDA); and
- shared and vetted findings and insights with HBC workers and Tshepong's management committee.

In carrying out this work, several decisions were made with regards to methodology. We agreed:

- to gather stories from current patient households as well as past clients' households;
- to document the stories told by the patient as well as others in the household (e.g. family members, friends and neighbours); and
- to tape-record and transcribe the stories, making provision for different levels of literacy and for stories to be told in multiple languages and then translated as required.

Several specific issues cropped up in the course of developing this instrument and we formulated three critical questions based on the issues which arose:

1. **What level of probing is necessary?** Did we need to frame and ask a specific question related to each of the five PoC domains of change, or would a broader question draw out sufficient texture? Testing indicated that a broad MSC question was sufficient as it generates rich and diverse stories touching the various dimensions of PoC. However, as a caution or tip to others, if you use PIME in a field of support where the correlation or presence of external and internal helping systems is not as high or visible as is the case of caring for the sick, more specific and targeted questions such as those found in the PoC change domains might be useful.
2. **Who analyses the stories?** How inclusive did this process need to be? At what point would it become a burden for HBC workers? We settled on the following, which proved to be manageable and effective:
   - The HBC story-telling group broke into three smaller buzz groups to identify the most important stories. This surfaced three key thematic changes: firstly, that people in the community are participating more in their own healthcare; secondly, that people are more open about their health; and, finally, that the stigma of HIV is reduced.
   - The CGSI, DOCKDA and three Tshepong leaders, having participated in the buzz group discussions, then identified and explained what struck them most about the stories and discussion and why.
   - The CGSI went through all the stories, sorting them by PoC domain for relevant insight and learning.
3. **How can quality of change in PoC be interpreted?** We settled on three traits as useful categories for drawing indicative conclusions about changes in the quality of local helping systems, namely: strengthen, deplete and displace. To clarify each category, we found the following questions helpful:
   - Strengthen: Was PoC more robust having been supported by the external intervention?
   - Deplete: Was the health of PoC reduced by the presence of external support?
   - Displace: Had PoC been relegated to the sidelines?

However, we found it useful to filter and sort the stories we gathered. Against a broader set of categories we drew up the matrix outlined in Table 3.8 as a way to map what the stories were suggesting.

Table 3.8 Characteristics of PoC change – the case of Tshepong

	Characteristic of change in PoC					
Project	Support	Supplement	Complement	Compensate for	Displace	Distort
Home-based care	✓ e.g.	✓	✓		✓	
Food garden		✓		✓		
Soup kitchen		✓	✓	✓	✓	
Other (e.g. distribution of food parcels)		✓			✓	✓

Findings and interpretation

Once we had mapped the stories, we used that map as a basis for interpreting them.

Strengthen

The presence of HBC workers does not appear to replace family, friends, neighbours and conventional caregivers in the local helping systems. Rather, stories indicate that the presence of these HBC workers could support and stimulate the current help systems. This raises an interesting consideration for assessing impact: What does the provision of external assistance through HBC from community volunteers mean for nurturing and promoting the local ethos of caring and sharing?

Stories told by HBC workers in this regard provide useful insight:

> *'Once, in one yard, we had three AIDS patients, two TB patients and one with cancer. These patients, they helped each other even if they were also ill. They helped each other because of the education that we gave them as caregivers.'*

> *'And the friends are also helping. They help you. If you don't come that day and you come the next day, you find that they have already washed your patient.'*

> *'One day this year, one of my cousins was in church. They asked in the church, 'Do you know anyone who is looking after sick people?' She said, 'You know my cousin Dorothy is looking after sick patients.' So that person comes to my place and she gave me four food parcels and 16 blankets. So I give it to my needy patients.'*

Deplete

Depletion did not emerge as a key change factor from the stories.

Displace

Research shows that food is the most frequently exchanged, as well as the most valued, material good given and received among and between the poor. Sharing food is therefore a fundamental feature of the local helping ethos. Formalising food distribution has the potential to disrupt the systems which are already in place to facilitate access to food. Further investigation into this area is necessary. When, for instance, food parcels including *e-pap* (porridge) – helpful in restoring appetite and a good nutritional supplement when taking antiretroviral treatment – were not forthcoming, patients complained bitterly. They were unhappy and expected Tshepong to fill this need. Insight into change around food distribution brings to the surface a central question for impact assessment: What does the provision of external assistance, through charity packages from the Church and soup kitchens as well as food packages from the government, mean for the giving and sharing bonds and mutual obligations of reciprocity that are embedded in local help systems?

Comments made by a home-based care worker reveal the dynamics involved in this area of help:

> '*But a problem started when we were giving food parcels out. I gave to the patients who were needy. So others started asking, "Now where is my food parcel? Why don't you give us food parcels? You only give to your friends." I told them I'm working for an organisation and I only have food parcels for people who are really needy … Then another person said, "You're hiding the food parcels!" So I told them, "My shanty is so small … if I had to hide 20 food parcels, where would I be sleeping at the end of the day?"'*

> '*When the organisation started, we would deliver instant porridge to the patients. Now it has become a habit that whenever we go visit them we see the need and give the family porridge. Now because they are running out and there's no more pap [porridge] available, whenever they go to the clients, the clients would first look for the pap: "Where's the porridge now? If you don't have the pap you must not come to me." So the people are very angry, but they have promised that they will soon bring the porridge to them again.'*

An interesting finding brings to the surface the ways in which HBC has expanded the range of help available to the most vulnerable in communities. While PoC is a safety net, it is not accessible to everyone in the community. Some people fall below it. To be eligible for help within the PoC system, a person has to have a reputation for helping others. The systems operate on reciprocity and 'you help the ones that help you'. People of low moral character and with a poor reputation for helping are not eligible to be helped. The eligibility criteria used by Tshepong differs. To qualify for help, you must be terminally ill and live within the geographical area serviced by the organisation. If you satisfy these criteria, you are helped. In this sense, HBC compensates for PoC's cut-off factor that excludes some people from help. The story of a young man who was previously in prison and had a reputation for drinking and not helping others is illustrative:

> '*So my problem is my family. Nobody wants to help me. They are living there on the street. Nobody of them wants to help me. They have everything. There is no income here. No electricity. No water. This is why the next door cannot help. At first, they helped me with water then also had some problems and said no – they don't want to help me. There is no one who helps me. It was HBC worker who always came here – with groceries and washing my sister. Since now our sister is dead not one helps us.'*

This highlights another very interesting impact on the quality of the ethos of caring and sharing that underpins PoC. Critical to this system of mutuality and reciprocity is reputation. HBC worker stories, in particular those of the men, highlighted an elevation of their reputation. They become known as 'someone who helps', which means they were seen as a leader and were therefore called upon for involvement in other communities' projects. The testimony of a young male HBC worker is poignant:

> '*Tshepong made a lot of difference to me. I am now one of the respected persons in my area. You see often they come to me. Like a councillor came to me and asked me can't I open up Scouts, especially for the young people? Even churches came to me also; they even call me pastor. Benny, can you come and help us at the church? So it's a lot of work for me now because people are looking up to me. And I can even walk in the street holding my head up and say I'm proud of what I'm doing now and what Tshepong did for me.'*

Uptake of PIME

The interpretation that PIME generates is neither conclusive nor definitive, and is instead speculative. It offers organisations a point from which they can begin to appreciate the impact of their work on the ability of a community to help itself. For an organisation committed to assessing the impact of its work on the quality of a community's own helping assets and agency, PIME highlights areas that warrant further consideration, tracking and measurement through an organisation's monitoring and evaluation system.

CHAPTER 4

CHANGING GRANTMAKING PRACTICE

The preceding chapters illustrate the richness that a PoC lens can bring to grantmaking practice. Adopting this lens does however also present many challenges to conventional practice. It requires a reorientation of the way we work, the way we think and the language employed in conventional grantmaking. In chapters 2 and 3 we presented some alternative ways to work with communities, and we examined the grantmaking cycle as well as particular tools which can be used in the process. In essence, our focus has been on the interaction between grantmaking organisations and communities. This chapter focuses on the changes in the grantmaking organisations themselves. We look at some generic mindset shifts and then introduce the Philanthropic Arc, which, although still a work in progress, has the potential to assist grantmaking organisations in its function as a diagnostic instrument for assessing organisational capacity and as an operational instrument, assisting project design. Finally, we conclude this chapter with some general thoughts to guide the way for implementing PoC in your organisation.

Changes in mindset

Grantmakers need to open themselves to a different mindset when embracing a PoC perspective. Some of the key shifts here may be that grantmakers need to:

- re-evaluate the idea of philanthropy as a one-way flow from the wealthy to the poor;
- re-evaluate what constitutes an asset, and learn to recognise helping norms as an asset and agency within poor communities;
- see funding as building on what is already there, rather than being the sole provider of assistance;
- recognise the time needed to invest in establishing a trusting relationship with the community and to help them map their assets; and
- recognise that evaluation and performance metrics need to be re-conceptualised to enable them to recognise and measure PoC efforts.

Essentially the PoC approach fits into two paradigms that are well known in the development community. The first is an asset-based approach to development. This can be difficult, since grantmakers are often encouraged to focus on community problems and 'deficiencies'. Worse still, there is a tendency to magnify these deficiencies in order to source funding to address the problems.

Framing communities in terms of a need or a problem can foster a 'poverty consciousness' amongst people in poor communities, as residents are asked to voice their degree of need and engage with external 'experts' who bring 'solutions'. This can create dependency and competition for resources.

Asset-based community development (ABCD)[3] offers an alternative to the needs-based approach as it focuses attention on, and encourages appreciation of, the positive assets and strengths in communities. The intention is to surface these hidden 'gifts' through appreciative inquiry and to cultivate a positive vision for the future. ABCD is inherently optimistic and assumes that:

- meaningful and lasting community change always comes from within;
- every person has capacities, abilities and gifts; and
- local residents are experts and key change agents.

The PoC approach also fits into the paradigm of civic-driven change.[4] Neither approach means overlooking reality and the stark impacts of poverty. But it does mean approaching communities from a mindset that assumes that there is something to build from. In terms of this approach, grantmakers should not assume that:

- Nothing 'philanthropic' existed prior to an external intervention or that anecdotal information is sufficient. Rather, consider that a local ethos and idiom of help may exist and needs to be mapped out and understood.
- What happens below organised structures at the informal group, household or individual level is irrelevant to organised philanthropy. Rather consider that what happens at this micro level might not be seen as 'private', but may be regarded locally as a 'public' concern and a community matter.
- Knowledge and experience relevant to resource mobilisation and its use is the domain of formal organisations. Rather consider what informal associations and clubs as well as individual leaders know as the guardians and proponents of a local ethos of help.
- Asset accumulation and absolute value is a sufficient indicator of success. Rather explore and develop a broader spectrum of indicators that reflects the range of resources brought to the table and their value. For example, an indicator of success could be that all the schoolchildren in a community donated one rand and pooled the contributions to buy the bricks to build a latrine; a local businessperson transported the bricks in his truck at no charge; and five of the parents volunteered their labour to build it. This is a different quality of indicator to 'one thousand rand was raised'.
- External interventions will 'do least harm'. Rather develop a baseline and indicator to measure and monitor the impact of grantmaking assistance on the local help systems that exist.
- The highest level of accountability is to investors/donors and/or compliance with public policy and organisational parameters. Rather consider that there is also accountability to the community for the effect and impact that philanthropic contributions have on poverty alleviation, social cohesion/community building as well as survival, coping systems and networks.

In other words, try to consider how community foundations and trusts would function if it is assumed that:

- local and organic practices of help do exist and play themselves out;
- acts of help at the community, household and private level are important to the craft of community grantmaking;
- local leaders as well as clubs and associations are a tried and tested source of information and strategy;

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3 For more information on this approach, consult the Asset-Based Community Development Institute website at www. northwestern.edu/ipr/abcd.html.

4 For more information on civic-driven change, see http://www.thebrokeronline.eu/en/Dossiers/Special-report-Deep-democracy/What-is-civic-driven-change.

- both material and non-material resources that come to the table from the community are valued;
- the effects of external support on what exists is unknown and needs to be tested; and
- foundations and trusts are answerable to the community for the impact of what they do.
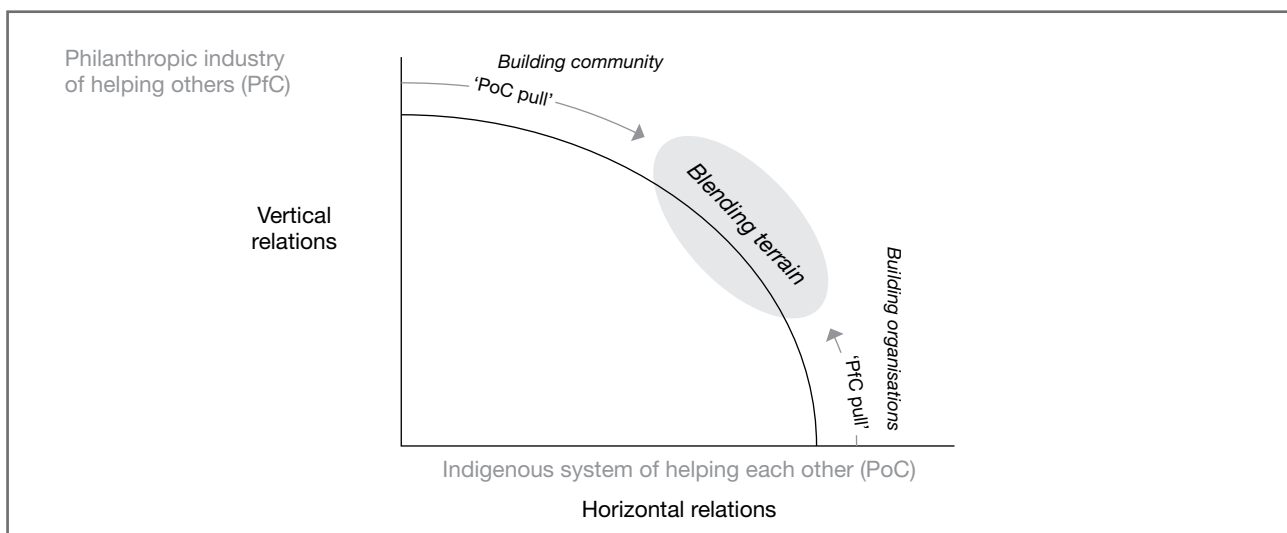
The Philanthropic Arc

The demonstration cases highlighted in Chapter 3 not only sharpened our practice, but also advanced thinking and concepts. The idea of the Philanthropic Arc emerged from demonstration-case reflections and offers a way to interrogate the relationship between PoC and PfC, the two co-existing systems of community philanthropy in southern Africa.

Transforming practice in line with this kind of orientation may necessitate a revision of many of the internal processes, procedures and cultures associated with issues such as grant application, reporting and accountability. Grantmakers wishing to adopt this new approach need to assess their organisations and decide whether it is most constructive to adopt an incremental, emergent, transformative or project approach to their own practice development. It is important first to assess to what extent existing practice is in line with the PoC approach. This process will also give practitioners insight into what they would be asking of communities when making a PoC-oriented assessment.

The finding generated by the demonstration cases that organisations, including NGO and CBO partners, could not easily be typologised and definitively categorised as either PoC or PfC is significant. In some cases, an organisation has characteristics of the vertical (PfC), including the use of external resources and expertise and operating within formal structures, yet also demonstrates characteristics of the horizontal (PoC) in that volunteers from the community are delivering services and existing affinity and proximity networks are being tapped into to identify clients or recipients of services. This understanding of organisational 'duality', the potential for overlap, informed the idea of a Philanthropic Arc, as illustrated in Figure 4.1.

Figure 4.1 The Philanthropic Arc

Philanthropic industry of helping others (PfC)

Building community
'PoC *pull*'

Vertical relations

Blending terrain

Building organisations

'PfC pull'

Indigenous system of helping each other (PoC)

Horizontal relations

An arc links the vertical and horizontal axis to create a spectrum, allowing an organisation to position itself between the two extremes and combine elements of PoC and PfC. The directional arrows disclose that the life-world of community grantmakers encompasses force fields or 'pulls', influencing where a foundation or trust is positioned on the spectrum. So far work with community grantmakers to develop the Philanthropic Arc into a practical instrument has grappled with the vertical and horizontal 'pulls'. One programme officer had this to say: 'The closer you are to the vertical you are

building "organisations", and when you are closer to the horizontal you are building communities.' The shaded area on the arc indicates a terrain or space in which the vertical and horizontal can blend, combining attributes and qualities of each.

The Philanthropic Arc as a framework, sheds light on the fact that an organisation is not fixed in one location on the spectrum, but does instead have potential for movement, as the two types of philanthropy can be dynamic, borrowing from or mimicking one another.

As a way to understand and interrogate the relationship between the two systems of community philanthropy, the concept of the Philanthropic Arc is developed further and combined with the five dimensions of PoC, as each axis is premised on one of the five dimensions. Within each dimension, the core attributes of indigenous systems of help on the horizontal axis are contrasted with those of the philanthropic industry for grantmaking to community (i.e. PfC) on the vertical axis. For example, the PoC's attribute for the philosophy of agency is that of a human being, while for PfC there is greater reliance on legally constituted identities recognised by government, particularly citizenship and attendant rights and responsibilities. Similarly, with PoC, greater attention is paid to non-material capitals of culture and symbolism, such as respect for age or hierarchy. Though somewhat stereotypical, to sharpen ideas the model allows a development organisation to position itself within the quadrant and its sub-divisions.

By identifying and comparing characteristics of the attribute at each end of an arc, the quadrant is a useful device which can be used as a self-assessment or diagnostic tool.

This tool can be used to help assess the extent to which an organisation is 'people-centred'. Many philanthropic and other development organisations believe that their grants and practices are sensitive to and respect indigenous ways of doing things, but this may not be the case. PoC can help verify self-perceptions in a new way by applying help categories and the *measures of the measured rather than those of the measurer*, which is usually the reference point.

At the time of writing, the CGSI and the CGLC had begun to design (but not yet test) the Philanthropic Arc as a metric. Development of the instrument's categories, attributes and guiding questions can offer new pathways and solutions through framing a new practice metric using the 'measures of the measured'. Using this as a metric for grantmaking practice suggests that the onus lies on those providing external assistance to blend with helping conventions that are internal to the community. This is a reversal of past practices where communities are expected to adapt to the external grantmaker's ways of working.

The Arc's potential lies in two levels of application: firstly, as a diagnostic instrument assessing organisational capacity and, secondly, as an operational instrument, assisting project design. Its architecture employs the five dimensions of the PoC Wheel, expounding on each by assigning attributes to the vertical and horizontal spectrum for each of the five arcs. The horizontal attributes, informed by the BCP research inquiry, and the vertical attributes, populated for community grantmakers by members of the CGLC, are detailed in Figure 4.2. To apply this metric to other vertical actors such as government or corporate social investment initiatives, attributes would have to be customised to their reality.

Using this framework, organisation executives and senior officers or project-level staff can discuss and plot their practice on the five arcs and their spectrums. The helpful question is: How far is our practice focused on:

- deficits and gaps as opposed to assets;
- quantum (how many grants and how much money delivered) rather than the value of the act itself;
- helping people progress out of poverty rather than making sure they don't slip further backward;
- contractual agreements, bureaucracy and technical procedures, as opposed to relationships of trust, collaboration and cooperation; and

- facilitating individuals' and communities' access to their rights and entitlements as citizens or maintaining people's dignity, respect and honour as human beings.

The objective behind the Philanthropic Arc as a metric is to do three things for enhancing community grantmaking performance: (1) More accurately compare aspirations around community to actual practice. Doing so helps to shift the focus away from systems and structures toward building community and narrowing the gap between rhetoric and reality. (2) Map and visualise critical factors that determine the organisation or project's position with respect to poor people/communities' own ways of surviving and self-development. To discern and plot actual practice creates a visual image that implores interpretation and creates the space to ask: 'Is this the "us" we want to be?' (3) The process can inform the strategies and steps that an organisation or project could consider taking to improve practice. Doing so activates an organisational change process.

Figure 4.2 The Philanthropic Arc as a metric
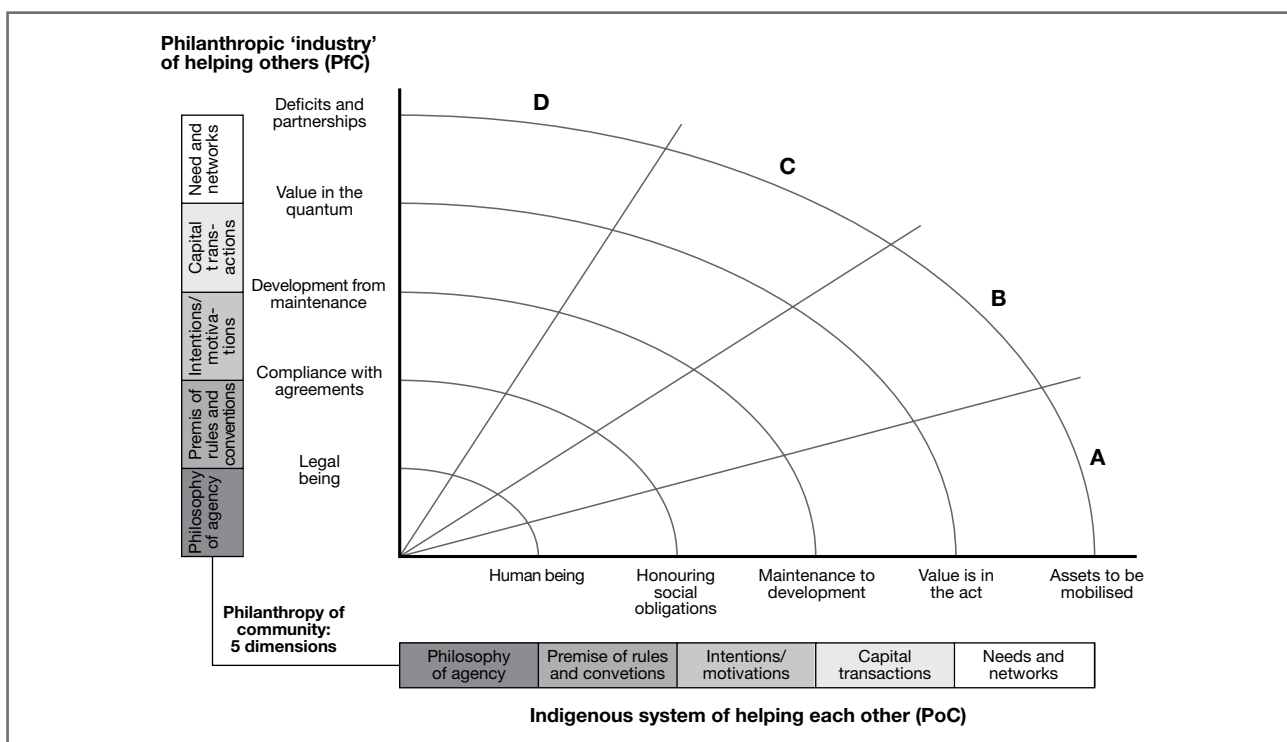
Enduring change rests with ordinary people and lies in the everyday

The Philanthropic Arc rests on the premise that sustainability does not lie in money, but in the lives of ordinary people. Enduring change will therefore come from embedding external support into people's daily lives.

Sustainability lies in building from the indigenous

The Philanthropic Arc is informed by the proposition that practice can be improved by building from the indigenous. In the development world there have been all kinds of efforts which endeavoured to start with the lived reality 'on the ground'. The PRRA approach and the World Bank's Community Driven Development programme are just two examples. However, what these efforts have in common is the fact that they are all framed by an external perspective – they try to 'localise' externalities (through adapting and customising external models or approaches), as opposed to building on what is already there.

The Philanthropic Arc's practical potential

The potential of the Philanthropic Arc for transforming practice lies in the conviction that support organisations can improve their practice by blending vertical elements with the horizontal. The onus should be on vertical philanthropy to blend with horizontal philanthropy – pressure should not be applied to the horizontal in order to make it look like the vertical. That is, the pressure should not be placed, as it currently is in development practice, on the *horizontal* to conform to the norms and values of the vertical. Rather the onus is on the *vertical* to move toward and blend with the horizontal. In current grantmaking practice, money and the ability to withhold resources assigns significant power to the vertical, making it a powerful magnet. The force pulls upward.

The Philanthropic Arc addresses power as the missing link in development practice. It raises the issue of how community philanthropy in southern Africa can enhance its ability to finesse, innovate and promote social change for greater justice, inclusion and accountability to the community being served. It also considers how external and indigenous helping systems engage and speak to one another, an area which requires further exploration.

Conclusion

We acknowledge that PoC is not a failsafe solution to the problems inherent in grantmaking practice; and that there are many other worthwhile models for guiding this enterprise. It is not intended that one should have to choose between models – generally what works best is a considered combination of models which take the specifics of a particular situation into consideration.

It is also important to note that while the PoC perspective has tremendously exciting implications for grantmaking practice, one should exercise caution when applying it. Some practitioners have expressed the concern that the organic processes of PoC should be left alone for fear that the functions served will be undermined or destroyed if they are examined. Others question whether local practices of 'help' are in fact expressions of philanthropy that are of any use to philanthropy organisations. These reservations deserve serious attention. The intention of looking through a PoC lens is neither to increase the burden on the poor nor to exploit their existing systems and strategies of help. Rather, the objective is to discern what can be learned from what works organically and is consistent with the values and norms of the communities involved. This journey contains a formidable question and challenge: Can PfC contributions be used to unlock or loosen the barriers of resource availability that constrain the potential and reach of PoC without destroying it?

There are no easy answers. Clearly, however, the types of intervention and technical assistance provided will be critical and will require thorough consideration and testing. The following guiding principles should assist grantmakers in applying this perspective in a constructive manner:

- honour and respect the organic but do not romanticise poverty;
- refrain from taxing the poor further in the name of local resource mobilisation and poverty reduction;
- take care not to 'professionalise' or formalise the organic; and
- recognise the limitations of indigenous philanthropy.

The contributors to this work trust that the ideas and concepts raised in this discussion of the PoC approach have made it clear that there are many ways of looking at and understanding a community. The PoC approach focuses on the way in which individuals and groups help one another, and on the inherent value for members of the aid community to learn from communities with regards to how they help themselves. It is hoped that through this course of action, we will be able to build, rather than undermine, the communities we are trying to help, and that we will transform the grantmaking approach to work towards sustainability and building stronger communities.

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PARTNER DESCRIPTIONS AND CONTACT DETAILS

Community Grantmakers Leadership Cooperative (www.synergos.org)

A project of the Synergos Institute in southern Africa, the southern African CGLC first convened in 2005 and addresses challenges experienced by community grantmakers as they seek to achieve lasting community development and anti-poverty impact as well as to become organisationally sustainable.

This project brings together 30 senior leaders of southern African community grantmaking organisations in a knowledge-sharing and peer-learning partnership aimed at enhancing the growth and sustainability of the region's independent development funding.

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DOCKDA Rural Development Agency (www.dockda.org.za)

DOCKDA was established during 1994 when representatives from the diocesan structures of the Catholic Church came together to set up a conduit to bring resources to the rural areas of the Northern Cape. During the apartheid years, whole communities were relocated to rural areas without access to infrastructure and services. Against this backdrop, DOCKDA engaged with community projects to enhance community initiatives. CBOs were strengthened through organisational development and grantmaking to support their vision, mission and activities.

DOCKDA has disbursed several million rands to CBOs since its formation. The agency currently partners with community organisations to strengthen their capacity to respond to the HIV/AIDS pandemic in the Northern Cape and in addition operates three Lifelong Learning Centres, enabling people to access the job market.

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Greater Rustenburg Community Foundation (www.grcf.co.za)

The GRCF was registered in 2000 for the purpose of mobilising and pooling resources as well as facilitating integrated local development. The GRCF makes grants to local non-profit organisations and CBOs, providing services within the Bojanala district of the North West Province. Developing the capacity and skills of local service providers through skills-development programmes is a key focus of their work. The GRCF is formally affiliated to the Southern African Community Foundation Association (SACOFA).

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Ikhala Trust (www.ikhala.org.za)

The Ikhala Trust is a registered independent trust that seeks to build self-reliant, secure and vibrant communities. It works in cooperation with stakeholders to uplift and support small community-based initiatives in the most disadvantaged areas of the Eastern Cape Province. Ikhala sows where people have already laid a foundation. Grants are provided only when social cohesion and mobilisation are demonstrated in a community. Small grants are used to reinforce and build on existing community assets, organisation and mobilisation. Ikhala provides grant funding, facilitates capacity building and provides support for lobbying and advocacy.

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