

**Gauging the Horizontality
of Community Philanthropy Organizations:
The Development and Validity Testing
of an Instrument**

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Dedication

I dedicate this work to my parents Patricia and Robert Wilkinson. For them the challenges I faced in living with Tourette's syndrome were never reason for me not to achieve or to succeed.

Acknowledgements

Taking on the challenge of doing a PhD as a mature student and as a practitioner has been a rewarding experience. It is one I could not have achieved without the support and encouragement of friends and colleagues.

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Abstract

This thesis sets out to develop an instrument to gauge the behaviour of a community philanthropy organization (CPO) and then to test its validity. Using both quantitative and qualitative methods, the Horizontality Gauge (HG) offers a process by which organizations can assess the extent to which their behaviour favours either the ways in which the international aid system prefers to work (with an exogenous orientation) or those of the community it serves (taking an endogenous approach), which is the orientation professed in its model.

When applied, the instrument is intended to facilitate self-correction, with the potential to contribute to organizational development (OD) and improved performance. The instrument is made up of a questionnaire and a group interview. It produces data in the form of Likert scale scores (quantitative) as well as qualitative evidence in the form of narrative illustrations of organizational behaviour and respondent judgement of scores.

The thesis draws on the concepts of the philanthropy of community (PoC) theory, in particular those related to the norms of self-help and reciprocity among the poor in southern Africa, in the context of the four elements of an organization as described in the work of Wilkinson-Maposa and Fowler (2009), and Porras and Hoffer (1986). It also adapts and applies the multi-level systematic framework for validating a research instrument developed by Adcock and Collier (2001), as modified by Lutz (2012). The secondary contribution of this study involves the refinement of the PoC theory and the further testing of an existing framework in the emerging field of validation in mixed methods research (MMR).

The HG was tested using the cases of five CPOs in South Africa. The findings show that it satisfies the assessment validation criteria of trustworthiness offered by Lincoln and Guba (1985) and researchers, donors and community philanthropy organizations can therefore use it with confidence and assurance. However, further refinements of the instrument are indicated. Specifically, insights problematize the vertical (the exogenous) in light of the domestication of funding in South Africa and call into question the ease with which the user can access and interpret the gauge as presented visually on a behaviour arc.

Preface

This study arose out of a professional encounter that began in 2003. It was made up of two experiences that joined together to form a third one. The first, that of theory building, and the second, tool development, came together to inform the third experience, that of moving from theory to practice.

The first experience provided the conceptual framework for the study, while the second established the organizational relationships. I applied these to close the gap in my own work by continuing to explore the application of the theory of the philanthropy of community (PoC) – that details the ways in which poor people mobilize their resources for self-help – to practice in the field of community philanthropy in South Africa.

The first line of experience was work that I carried out from 2003 to 2005. This took the form of a grounded theory inquiry into the norms and conventions of self-help and mutual assistance among the poor. Undertaken at the Graduate School of Business, University of Cape Town, it involved mobilizing national research teams in four southern African countries: South Africa, Namibia, Mozambique, and Zimbabwe.

It was recognized that community philanthropy organizations (CPOs), in particular community foundations, had been introduced to South Africa as if there were no pre-existing philanthropic tradition. This led the Ford Foundation to support an inquiry into what motivates people in poor communities to mobilize resources they already have and to place them where they are most needed. Analysing and documenting these widely acknowledged practices was intended to make it more difficult for donors to overlook and undervalue indigenous or African philanthropy in the future. It offered a way both to conceptualize indigenous philanthropy at the community level and to apply it by breaking down the PoC theory into five interrelated dimensions.

The second line of experience, a phase two study, was carried out from 2005 to 2009. It was based on recognizing that the community philanthropy toolkit did not include systematic ways in which to begin with and build upon indigenous traditions of giving or helping one another. To address this gap, I embarked upon action research initiatives

in collaboration with practitioners in the field. Together we designed, tested and documented three community-level tools.

This initiative led to the third line of experience, the application of theory. Each tool used at least one dimension of PoC. It became clear that PoC theory was not merely a conceptual idea, but could be used to expand practice. This third experience and its premise laid the foundation for this study. It contributed to my motivation to explore more ways in which the PoC theory could be applied by organizations in their efforts to support poor communities.

In developing the instrument for this study I drew heavily on my prior work and my interest in the field of African philanthropy, community philanthropy, and participatory methods. It pulled in ideas I had shared in developing organizational relationships, testing tools with practitioners, and my experience in prior research that had moved between the theory of PoC and the actual practice of community philanthropy.

In this preface, I located the study in broad terms, shedding light on what motivated and facilitated it. I also located myself both as an insider in the world of community philanthropy and as a “prac-ademic”, spanning the two worlds of academic endeavour and practice. This dual focus is evident both in the methodological orientation of the study and in its applied nature.

In the introduction and in Chapter 2, I will explain what I sought to achieve, the practical problems I addressed, and why I believe that the measurement of endogeny is necessary for effective development.

List of abbreviations and acronyms

ABCD	Asset-Based Community Development
AGN	African Grantmakers Network
BCP	Building Community Philanthropy project
CAFSA	Charities Aid Foundation Southern Africa
CBO	Community-Based Organization
CDRA	Community Development Resource Association
CECIK	Centre for Cosmovision and Indigenous Knowledge
CGSI	Community Grantmaking and Social Investment programme
CPO	Community Philanthropy Organization
CSO	Civil Society Organization
DAC	Development Assistance Committee
ECOSOC	United Nations Economic and Social Council
ED	Executive Director
EFC	European Foundation Centre
EU	European Union
FSG	Futures Strategy Group
GDP	Gross Domestic Product
HG	Horizontality Gauge
IDCV	Instrument Development and Construct Validation Framework
INTRAC	International NGO Training and Research Centre
ISTR	International Society for Third Sector Research
M&E	Monitoring and Evaluation
MMR	Mixed Methods Research
NGO	Non-Governmental Organization

NPO	Non-Profit Organization
OECD	Organisation for Economic Cooperation and Development
OD	Organizational development
ODI	Overseas Development Institute
PAIM	Philanthropy of Community Assets Inventory and Mapping
PfC	Philanthropy for Community
PMVA	Philanthropy of Community Measuring and Valuing Assets
PoC	Philanthropy of Community
SACOFA	South African Community Foundation Association
SAGA	Southern African Grantmakers' Association
UK	United Kingdom
UNDP	United Nations Development Programme
UNESCO	United Nations Education, Scientific and Cultural Organisation
UNICEF	United Nations Children's Fund
US	United States
WINGS	Worldwide Initiative for Grantmaker Support

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Chapter 1

INTRODUCTION

1.1 Introduction

This thesis is concerned with the measurement of endogeny¹ from an organizational perspective². It takes as its challenge the development, testing and evaluation of a new instrument, the Horizontality Gauge (HG), which was designed to address a methodological gap in evaluation research. For the purpose of the study, I employ the terms “endogenous” and “exogenous” in a specific way. They are used in relationship to the field of international development – a sector in which resources³ (both of assets and agency) are mobilized to address the needs and opportunities of people and communities living in poverty. “Endogenous” refers to resources that are local to the context in which development and change are to occur. Such resources originate from within a community, as exemplified in self-help and mutual assistance carried out using an organic helping system.

In contrast, “exogenous” covers those resources that are external and are imported from one context to assist those in another. It is exemplified by assistance aimed at development and guided by a set of norms and procedures that frame the international aid system⁴. Current thinking on development maintains that procedures that are sensitive to the endogenous are more likely to lead to sustainable development, which is understood as change that will continue after a development project has been completed

¹ The noun endogeny (and the adjective endogenous) means from the inside, with no external cause. Endogeny is often used in biology and medicine to refer to a substance or process that comes from within a living being, e.g. an organism or cell. I considered using the word endogeneity instead of endogeny, but the use of the term endogeneity in econometrics creates unnecessary confusion and therefore I abandoned this idea. I use the phrase, “endogenous-sensitive approach” to denote a consideration and thoughtful treatment of what is internal to a particular context.

² The organization is the unit of analysis.

³ The term “resource” is used expansively to refer to material as well as non-material means. It can include money, material goods, as well as labour, emotional reserves and other kinds of assets and agencies used to inform decisions and take action. These can include but are not limited to models, concepts, tools and techniques, leadership style and the planning and reporting requirements.

⁴ This can include, for example, importing foreign development models and strategies that take the lead and dominate the development agenda and processes.

(Ake, 1988). Such processes of change are grounded in existing norms of resource mobilization that are part and parcel of what is familiar and considered as natural or normal behaviour in a poor community (Ake, 1988).

The main objective of the study is to establish the level of confidence that potential users – researchers (which includes me), organizations and donors – can have in the HG assessment instrument. The HG is made up of two parts. The first is a questionnaire, which is administered to individual respondents. It consists of closed-ended questions which generate quantitative data (Likert scale scores) and open-ended questions which produce qualitative data (illustrative examples of organisational behaviour that corresponds with the Likert scale scores). The second part is a schedule of open-ended questions used in a group interview with all the respondents from an organisation. It produces qualitative data that serves to collectively assess the composite Likert score generated for each organisation.

In its totality, the HG allows members of an organisation to ascertain the direction of their organisation's behaviour. For the purpose of this study, the term "direction" has two possible applications. Organizational behaviour (that is, how an organization acts) can be oriented either to "horizontality"⁵ or to "verticality" (Wilkinson-Maposa et al., 2005:xi). As used throughout this study, horizontality equates with the endogenous and verticality with the exogenous. An organization can mobilize resources horizontally for the purpose of development and change in a way that draws on the behavioural factors in the community it serves. Alternatively, in the vertical approach, it can favour the donor agencies that back and support it. Arguably, as discussed in this thesis, most behaviour falls between these extremes and draws on elements of both.

The study is focused on one particular type of organization: a community philanthropy organization (CPO) operating in South Africa, a country where institutionalized⁶ community philanthropy is an emerging field. A CPO is a type of non-governmental organization (NGO) that typically provides small grants and complementary capacity-building support to community-based organizations (CBOs) and informal (that is, non-

⁵ Throughout this thesis quotation marks are used for this first reference to a cited technical term. Subsequent references acknowledge the same source yet for ease of reading do not appear in quotation marks.

⁶ "Institutionalize" is a reference to formally established and registered organizations.

registered) groups in poor communities. Their objective is to make a community stronger and healthier by taking an endogenous-sensitive approach to development. This means putting into the hands of the local people the resources they need to pursue their own priorities and objectives in ways that make the most sense to them.

The aim of developing and testing a new instrument is to offer CPOs a way of assessing the direction of their behaviour. Such an instrument would allow them to reflect on where self-correction might be needed so as to ensure that they are tapping into local helping systems and are building upon these. In doing so, they will recognize the community and its needs, priorities and favoured ways of working, and this will lead the process of development and change.

In order to establish a level of confidence in the HG in relation to the behaviour of a CPO, I adapted a framework for the validation of research instruments initially developed by Adcock and Collier and then expanded by Lutz (Adcock & Collier, 2001; Lutz, 2012). The aim was to carry out a “disciplined inquiry” (Punch, 2005:245) in a thorough, systematic and transparent way by examining the extent to which the HG would satisfy Lincoln & Guba’s criteria of “trustworthiness” (1985:218) made up of four component parts.

The focus of the thesis on the development and the testing of an instrument makes this thesis somewhat unusual in the humanities while in other disciplines, such as engineering or medicine it would be commonplace. In doing so, I argue that in the applied social sciences generally and development specifically more attention should be paid to the science of instrument design for practice.

In developing the instrument, I drew on the theory of “philanthropy of community” (PoC), that is, ideas on the ways in which the poor help themselves and the reasons for the actions they take. I used the work of Wilkinson-Maposa and Fowler (Wilkinson-Maposa et al., 2005; Wilkinson-Maposa & Fowler, 2009) as a conceptual basis for understanding and juxtaposing horizontal and vertical behaviour. In this respect, I continued my previous work (Wilkinson-Maposa 2009b; Wilkinson-Maposa, 2009c), exploring ways to apply knowledge about indigenous helping systems and to expand and improve the practice of community philanthropy.

More broadly, my interest in this study stemmed from a desire to engage with the process of enlarging the field of community philanthropy. This relatively new terrain is actively defining itself and attracting donor support. In a competitive programming and funding environment (Kasper et al., 2014; Fulton & Blau, 2005), this sector, as exemplified in the advocacy work of the Global Fund for Community Foundations (Global Fund for Community Foundations, 2014; Hodgson & Knight, 2012; Knight, 2012), seeks to draw out what is unique about its model in order to achieve developmental effectiveness. In so doing, it distinguishes itself from other types of NGOs, hoping to be more attractive to donors.

However, while making the case for the community philanthropy sector and its effectiveness, I faced a conundrum that interested me and prompted this study. The problem, in short, is as follows. The community philanthropy model maintains that its strategic advantage lies in its affinity with the life of communities. As such, the community is at the centre of its practice. It endeavours to strengthen communities by building up “assets, capacities and trust”⁷ (Global Fund for Community Foundations, 2014:1). CPOs typically place grant money directly into the hands of community members. In some cases, they establish an income-generating endowment to provide ongoing finance for community support (Global Fund for Community Foundations, 2014). These characteristics and operational practices not only align community philanthropy with an endogenous-sensitive approach to development, but also set CPOs apart from other types of NGOs (Knight, 2012).

However, an inquiry into the behaviour of community foundations⁸ in the United States (US) found that, while they were dominant in the field, they were not the only form of

⁷ Quotation marks are used for this first reference to this term. Subsequent references acknowledge the same source yet for ease of reading do not appear in quotation marks.

⁸ Worldwide Initiative for Grantmaker Support (WINGS) defines a community foundation as follows: “An independent, non-profit, philanthropic organization working in a specific geographic area which, over time, builds a collection of endowed funds from many donors in the community. It provides services to the community and its donors, makes grants, and undertakes community leadership and partnership activities to address a wide variety of needs in its service area. A community foundation is a vehicle for local donors who wish to contribute their cash, trusts, bequests, or real property to create permanent endowments that will benefit the community in perpetuity. Using the investment earnings on each endowed fund, a community foundation makes and builds capacity within the community to address local needs and opportunities. Their task is to build substantial, permanent funds from which grants are made to local charitable and community organizations.” Available: <http://www.wingsweb.org/?page=glossary> [2015, October 18]

community philanthropy (Bernholtz et al., 2005). A further study, involving a programme evaluating their importation into South Africa, suggests that the centrality of community and the desire to strengthen it are, in reality, only hopeful. In practice, neither community-centred behaviour nor its intended outcomes are seen. Instead, there is a focus on building the CPO with its own institutional sustainability in mind, employing modelling that relies on the design as practised in the US. Consequently, such organizations fail to see what is already happening within a community in terms of indigenous philanthropy and its value, or the advantages of tapping into and leveraging this for community development (Roux, 2001).

In summary, these studies point to an existential aspiration–practice gap, one that calls for self-correction and improvement (Bernholtz et al., 2005). CPOs worthy of the name must, as a first step, determine and reflect on whether their behaviour is (mis)aligned with indigenous practices. Doing so, however, can be problematic. There is no established set of standards or indicators on which a CPO can rely when considering the extent to which it puts a community at the centre of its work. Measures of endogeneity in organizational behaviour do not exist. They are not found in established research on methods of evaluation⁹. My decision to develop and validate the HG was a direct response to this practical challenge and its related role in advocacy. Validation is critical to establishing a satisfactory level of confidence in the efficacy of HG application.

Accordingly, my research for this study sought to tackle the problem of measuring endogeneity from an organizational perspective and, in so doing, contribute to methodology in the evaluation of philanthropy by filling a gap in evaluation research. My premise was that making available a reliable method for assessing the extent to which the behaviour of a CPO incorporates endogenous systems of helping would go some way towards remedying a situation in which development assistance, premised on external models, offers a far-from-reliable way of bringing about sustainable change and empowerment in poor communities.

⁹ This point is detailed in Chapter 2.

1.2 Background and approach

The study therefore focuses on the measurement of endogeny, specifically in the field of community philanthropy. It is worth briefly reflecting here on measurement and the task of developing an indicator in the light of a prior effort. I know of only one previous attempt to develop endogeny indicators from an organizational perspective. This was undertaken by a programme in which I was involved. From 2008–2009, as part of the Community Grantmaking and Social Investment (CGSI) programme at the University of Cape Town, in collaboration with members of the Community Grantmakers Cooperative¹⁰ from Zimbabwe, Mozambique and South Africa, we set out to devise a way to assess organizational performance. We familiarized ourselves with research that had identified a system of indigenous mutual assistance, categorized as PoC.

This system has “five dimensions” (Wilkinson-Maposa & Fowler, 2009:20). These can be located visually on a philanthropic arc, detailed in Chapter 5, made up of five spectrums. The vertical axis represents external development practices, termed “philanthropy for community” (PfC), while the horizontal axis denotes the dimensions of PoC. We set ourselves the task of identifying the different kinds of behaviour a CPO could exhibit and then locating them along these spectrums between the two extremes in order to establish hallmarks.

This task was not easy. In fact, we did not succeed. Our experience showed us that PoC theory was too abstract for CPO members. The description of indigenous helping systems was familiar and made sense to them, and the arc construction used to capture data was well received as a neat way to summarize and portray behaviour. However, identifying possible behaviours and categorizing their organization into degrees or levels of endogeny flummoxed us. The process proved to be more difficult than we had expected.

The organizations were simply not accustomed to filtering their own behaviour through the lens of how poor people were able to help themselves. The experience of benchmarking behaviour was also new and for some very challenging. Implicit in the process was judgement or its threat. This raised problems for our methodological

¹⁰ Hosted by the Synergos Foundation and made up of 30 members from east and southern Africa.

approach in three ways. It became clear that developing an indicator was a complicated, demanding process that called for a systemic approach that might not be well suited to the skills set of all practitioners. It also became apparent that, if the indicators were to make sense to the practitioners, they had to speak to their real world of work, not to that of ideas. Finally, I learned that using summative and visual constructs might be better suited to plotting and presenting data that portrayed a phenomenon, rather than for figuring out content or generating information.

Nevertheless, the experience was not in vain. It motivated and significantly influenced a second attempt. The present study departs from the first approach in a number of critical ways: firstly, developing indicators proceeds in a structured and systematic way, with the aid of a matrix as a heuristic tool and the application of mixed methods; secondly, PoC theory is made more concrete by combining it with organizational theory, drawing on four elements of an organization's behaviour as categories for interrogation; thirdly, while I continued to use the arc and its spectrums to represent the endogenous-exogenous range of possible behaviour, using this tool was restricted to data capture and representation. It was not used as a tool to assist with indicator development.

The approach to validation was based on amalgamating evidence from diverse sources, covering all the stages of the research process and incorporating different judgements, including those of both the respondents and the researcher. The following chapters show that there are reasonable grounds for concluding that the HG satisfies the criteria of trustworthiness. Specifically, the scores generated by the gauge are believable and can be trusted, since they were approved by the respondents themselves; they thus have "truth-value" (Lincoln & Guba, 1985:294). The cases involved in the study covered a diverse profile of organizations similar to those one would expect to find in the larger population. Thus the instrument has wider "applicability" (Lincoln & Guba, 1985:296). Furthermore, due to several design features, if the study were to be repeated again by the same CPOs, the gauge would be expected to produce similar scores, that is, to show "consistency" (Lincoln & Guba, 1985:298). Specific features include the substantiation of each score with an illustrative example, the use of multiple voices from within the organization, and the aggregation of multiple individual scores into an organizational-level inference. Finally, as will be seen, researcher bias did not appear to dominate the

scores, which instead captured the genuine views of the respondents (for “neutrality”) (Lincoln & Guba, 1985:299). Satisfying this criterion was attributed to key design features, including a process of selecting respondents that ensured that many voices from within the CPO would be captured, and the use of an alpha Likert scale based on A to E, rather than the numbers 1 to 5, to minimize any suggestion of a hierarchy.

I am confident that the HG has a high degree of validity and that stakeholders, including CPOs, donors and researchers can use it with assurance. However, three notable limitations or constraints temper this assessment. Firstly, three of the respondents expressed difficulty in interpreting the gauge as visually represented on the behaviour arc.

They struggled to read it and to assign a meaning to it. Their inability to do so reduced the contribution of the instrument. Secondly, it offers a unidirectional assessment of behaviour based on the opinion of CPO members. As such, it does not have the benefit offered by a 360-degree assessment that would factor in multiple sources of judgement from other stakeholders, including both the community served and the donors. Different perspectives would generate a different gauge. Thirdly, my insider status as a member of the philanthropy community in South Africa may have militated against respondents being overtly critical of my work, although they did engage constructively with it.

Beyond validity, the study brought to light critical reflections, specifically related to the field of community philanthropy in South Africa. Two key insights were evidenced and are outlined below.

Firstly, and unexpectedly, the thesis does not confirm the very conclusion that inspired it; that is, the notion of an aspiration-practice gap introduced earlier. Respondents across the five cases did not interpret the gauge to suggest that there was a problem with implementing the model. When asked, “Is this who you want to be?” (i.e. does this behaviour reflect who the organization says it is), in all cases the respondents expressed comfort with the profile. In this sense, the thesis shows that the instrument I developed has merit, yet was possibly established to redress a problem that, in the extreme, does not exist in South Africa or at the very least is not of priority concern. This being said, it did serve the purpose of testing the instrument, as elaborated in Chapter 7.

Secondly, the trend toward the domestication of donors (Severino & Ray, 2010), with South African rather than foreign funders, is evident in the cases. This shift might raise problems over the use of the international aid system to determine the behavioural characteristics of the vertical orientation. Potentially, this could call for a reconsideration and refinement of how the exogenous, vertical orientation is understood. It signals the need for research into the behavioural profiles of domestic donors: do they differ significantly from international practices? Currently, to my knowledge, this has not been interrogated or documented.

With these limitations in mind, the following section introduces the aims of the research and spells out its implications. The final section of the chapter outlines the structure of the thesis.

1.3 Research question

The foregoing sections explained the justification for the research, giving an overview of the approach taken, and emphasizing that validation was as important in this work as were the methods deployed in designing the instrument. To recap, the aim of the study was to assess the validity of the HG against the criteria of trustworthiness based on its testing with five CPOs in South Africa. Accordingly, the central research question this research set out to answer is the following:

To what extent is the Horizontality Gauge (HG) a reliable instrument for community philanthropy organizations (CPOs) to use to determine the vertical or horizontal directionality of their behaviour toward grantee partners and the communities they serve?

This question has four implications that foreshadow a more detailed discussion in Chapter 8. First, a methodological gap in evaluation research is addressed. The HG offers a way to gauge endogeny from an organizational perspective. Secondly, it responds to a need for “next generation evaluation” tools (Gopalakrishnan, Preskill & Shijie, 2013:3), designed to meet an anticipated future need for evaluation in philanthropy. The HG is thus in line with and contributes to predicated trends. Thirdly, advances are made in mixed methods research (MMR) as applied to instrument

validation. Finally, there is a potential conceptual advance, as the theory underpinning the HG is refined. The feedback loop found in the validation framework allows for the modification of PoC theory based on the empirical findings. Better theory can result in better practice.

1.4 Outline of the thesis

The structure of the thesis is iterative, in that the design and validation of the instrument are interlinked. While the criteria for validation are derived from the literature, their mode of application should be understood in relation to the substance of the empirical field. Consequently, for comprehension, a degree of forward and backward referencing of material across chapters is called for. In addition, a full picture of the instrument and its mode of validation are given in the two chapters following the literature review. This somewhat anomalous construction allows the reader to follow the conceptual grounding and empirical journey with the five participating CPOs as elaborated in subsequent chapters.

Chapter 2 locates the study in a body of literature that touches on specific themes, those of endogenous development, community philanthropy and evaluation research. It illuminates why endogenous development is so difficult to achieve, and how this plays out in community philanthropy. In particular, the absence of a method for assessing endogeny from an organizational perspective justifies the search for a new instrument.

Chapters 3 and 4 establish the full picture of the instrument and its validation. These are further explained and substantiated in later chapters. This construction gives the reader an immediate orientation and a reference point from which to appreciate a more detailed discussion in the subsequent chapters.

Specifically, Chapter 3 describes the instrument as a whole in terms of its core principles and substance, setting the scene for the role and functionality of visualizations in a participatory self-assessment process. Chapter 4 offers a second anchor for the navigation of the thesis. Again, a multi-level validation framework is provided up front, showing the systematic way in which the instrument was interrogated during all stages of its construction, starting with its conceptualization, as explained in

the subsequent chapter. In addition, Chapter 4 explains why and how the validation framework provided by the literature was adapted to the specifics of testing the design and application of a self-assessment tool.

Chapter 5 gives the conceptual core connecting the empirical substance of community philanthropy with its organizational expression and behaviours, set against the notion of an aspiration-practice gap that can be gauged and hence evaluated. Chapter 6 explains the construction of the instrument as a creative, iterative and dynamic process. In Chapter 7, the Likert scale scores for the five participating CPOs are presented and interpreted using the group discussion evidence. This analysis generated findings that promise new insights into community philanthropy. Chapter 8 returns to the research question on the validity of the HG and sums up the conceptual and practical contributions of the study.

Chapter 2

REVIEW OF THE LITERATURE

2.1 Introduction

This study touches on a number of bodies of literature. They are not, however, all discussed in this chapter. Rather, the study focuses on the most pertinent ones needed to understand the measuring of endogeny in relation to organizational behaviour in the specific cases used. These areas are endogenous development, community philanthropy, and research into the evaluation of philanthropy. The move from one field to the next is cumulative, generating the overall context for this study. Where other bodies of literature are relevant – such as those on organizational development (OD) and validation – they are referred to when needed, or to introduce or set up what is being discussed in the appropriate chapter.

The present chapter deals first with the literature on endogenous development as an established and longstanding principle in international development thinking. It also addresses the exogenous bias in the aid system. The aim is to establish that, while much lauded, endogenous development is difficult to implement. To illustrate this problem of implementation, I review the literature on community philanthropy, in particular the case of community foundations in South Africa. I explain the relevance of using the case of community philanthropy in South Africa for this study by pointing out a disconnect between what Community Philanthropy Organizations (CPOs) espouse and their actual behaviour. In considering a response to this conundrum, I present the literature on evaluation in the field of philanthropy as it relates to the measurement of endogeny. The aim here is to identify a gap in evaluation practice that needs to be filled. I argue that what is missing is a way to appraise the extent to which organizations practice endogenous development.

In summary, by using the case of community philanthropy I discuss how the exogenous bias of the aid system obstructs the implementation of endogenous-sensitive development. The result is a disconnect between what an organisation aspires to and its

actual practice. I present this as a problem to be addressed through evaluation. The chapter then touches on trends in the literature evaluating philanthropy as an additional reference point. In Chapter 8, the conclusion to this dissertation, I review the contribution of this study to this area of research more broadly.

2.2 Endogenous-sensitive development

This section presents the literature on endogenous-sensitive development¹¹, explains what it is, why it is considered to be important, and establishes its historical longevity. The aim is to provide a general understanding of the concept and establish what studies suggest about its unique contribution to development performance. In doing so, it establishes that endogenous-sensitive development is seen as a route to sustainable development – that is, change processes and outcomes that will last after a development project or initiative has been completed (Ake, 1988).

2.2.1 Conceptualization

It is beyond the scope of this study to give an exhaustive or detailed account of endogenous development. Rather than a focus on nuances, the discussion offers key tenets for a basic appreciation. In doing so, it maps the terrain in which I set out to understand and measure endogeny.

Five authors of studies on endogenous development in Africa (Compas, 2007; Holcombe, 2014; Millar, 2014; Centre for Cosmovision and Indigenous Knowledge [CECIK], 2013; Tinguery, 2014) agree that, while there are different definitions of endogenous development, the central idea is constant. There is a general consensus that it is “growing from within” (Compas, 2007:1). Holcombe expands on this by citing three primary tenets: it is a “locally defined, -led and -controlled effort to expand human choice” (2014:752–753); secondly, it is about “human dignity and self-respect” (2014:753); and thirdly, it is “rooted within the particular context and culture it serves” (2014:753).

¹¹ It is beyond the scope of this study to consider how endogenous development could be implemented. That is, the methodology is not explicitly considered.

For the purpose of this study, I use the operational definition of endogenous development offered by Compas, a global network of practitioners¹². It is well suited to this study in two critical ways. Firstly, it is applied, not theoretical, in its description. Secondly, it acknowledges the use of both internal and external resources, a combination that is relevant to community grantmaking, since grant funds typically originate from a donor and then are lent onward to community groups. The notion given by Compas is the following:

Compas regards endogenous development as a process of change that enhances local control of the development process and primarily builds on local resources. It makes a distinction between social, physical, economic, human, spiritual and produced resources. This approach thus explicitly recognises the importance of cultural diversity and suggests that there are as least as many notions of “development” as cultures. Endogenous development is understood as based mainly, but not exclusively, on locally available resources. It has the openness to consider, modify and integrate traditional and outside knowledge. It has mechanisms for local learning and experimenting, building local economies and retention of benefits in the local areas. The main actors in endogenous development are the people in the communities, villages and towns, with their own self-determined traditional organisations and leadership and civil organisations that have emerged more recently. They are the main carriers of endogenous development (Compas, 2007:12).

This definition sheds light on three features on which other studies also focus. Firstly, endogenous development is a “self-oriented growth process”, based on the “local determination of development options”, in that the advantages of development remain in the community (Millar, 2014:639). Secondly, it is about “appreciating people’s world views”, drawing on the local context and the cultural perspectives of the community (CECIK, 2013:16). Thirdly, endogenous-sensitive development uses a “holistic perspective” (CECIK, 2013:17), stressing the importance of bringing together the various parts of a system, including external ideas and methods, in a specific context.

Implicitly, there is the suggestion that, in a developing country, “local” refers to the context, culture or place where development and change are to occur. Typically, this is narrowly defined as a community seen geographically and closely bound to a village or town, and to marginalized rural or urban communities, rather than at a national level

¹²Available: <http://www.compasnet.org/index.html> [2010, June 30]

(Galaa et al., 2014; Delaney, 2014; Pinnington, 2014; Compas, 2007). However, this does not have to be the case. For some authors (Moyo & Ramsamy, 2014; Rwiyereka, 2014; Millar, 2014), endogenous development is discussed at the level of both the nation and the region, including South-South cooperation and the idea of pan-Africanism. As discussed elsewhere in this chapter, community can also refer to social groupings or networks. In this case, it is not necessarily confined to a geographic region. Malunga (2014), for example, places a strong emphasis on culture, focusing on indigenous practices that are part of African culture as the umbrella for community.

In relation to resources, broadly understood and including but not limited to money, labour, skills, technology, institutions, knowledge and leadership, the extant studies stress that endogenous-sensitive development can draw on and combine resources that are locally derived, as well as externally raised, and made available to a community (Millar, 2014; Compas, 2007). Building on this point, there is consensus that endogenous development does not in itself reject assistance. The issue at hand is rather the use of what is external to extend and build upon what is locally available. Related to this position is the idea that endogenous-sensitive development is not regarded as a panacea by its proponents. This led a group of researchers (Compas, 2007; Millar, 2014; Uphoff, 1986) to argue for the coexistence or blending of exogenous and endogenous resources. These should be combined in a way that does not displace or abuse what is local. Uphoff elaborates on this position in the following passage on indigenous institutions:

We would not recommend the co-optation of pre-existing institutions as a general strategy. Some combination of building on what exists and carefully fostering something new is likely to be the preferable course of action. It is advisable for “modern” institutions to imitate familiar and accepted patterns of responsibility, communication, resource mobilisation, etc. as much as possible (Uphoff, 1986:7).

2.2.2 Rationale

Endogenous development has its own logic. Malunga and Holcombe (2014a), for example, argue that endogeny has something to teach those involved in development interventions. They put it this way: “In the histories and cultures of the many societies of Africa we can find many political, social, spiritual, ecological and economic norms,

values and knowledge that have something to teach, inspire, and facilitate development efforts in the twenty-first century” (2014a:616). Others argue that African traditions could be the foundation and starting point for more equitable gender roles and practices (Rwiyereka, 2014; Tinguery, 2014). The West African scholar, Claude Ake (1988), made a compelling point. He argued that endogenous development could offer those involved in development practice in general the opportunity for and promise of sustainable development. This influential study, prepared for the World Bank and dating back over 25 years, maintained that the intrinsic value of endogenous development is in laying a foundation for sustainable development. Ake (1998) understood this to mean those processes and impacts that would endure. They are not tied to or dependent upon the life span of a project. This broad notion led him to look beyond the economic rate of return of a development project, which is a conventional lens, to focus instead on the ability of the local community to maintain the ongoing gains of a project, pointing to the importance of management capacity and institutional forms and highlighting “the availability of local management capabilities and organisational forms to sustain the project as a going concern and the extent to which the dynamics for the survival of the project are localised” (Ake, 1988:9). But this is not all. To endure, projects must address the genuine needs and priorities of a community and be backed by a group desire to advance. In short, efforts for change must be grounded in the everyday lives of people – in what they know, have and value. Ake sums up the argument for *building from the local* in the following way:

Insofar as the ordinary people become the engine of development, development has to come to terms with all the things that are important to them, especially their values, culture, history and interests. There is no development in alienation, only disorganisations. Development – sustainable development at any rate – will not occur unless it works through what excites and motivates people, what they value and understand, and what they feel at home with. This is how development should normally proceed (1988:19).

According to Ake (1988), if the aid system, specifically micro-level development organizations (those working at the community level), can build on what is endogenous, the gain will be in more effective programmes that endure. This implies better outcomes from the aid investment. A study over two decades later by Tinguery (2014) confirmed

the continued relevance of Ake's thesis, in a discussion on endogenous-sensitive development in Africa:

As this [development that is grounded] implies building on existing local knowledge, institutions, strategies, resources, and involving the real stakeholders, endogenous development seems to me a sound approach, considering ultimately that people constitute the main driving force to model and achieve sustainable development. ...The basis for sustainability lies in how well the development initiative is grounded in and appropriated by the beneficiary community, and in their engagement in the process of achieving the social, economic, environmental, and ethical dimensions of the desired change (Tinguery, 2014:744).

Additional studies carried out in Africa and India (Noyoo, 2007; Krishna, 2002; Krishna, 2003) substantiate Ake's thesis, emphasizing four benefits of endogenous development that underpin the capacity to build sustainability. These key assumptions are indigenous knowledge¹³, local institutions, social capital, and points of connection. Indigenous knowledge offers information that is embedded in what people in a community already know and do, making it suitable to the context. Local institutions, which people know and trust, can offer legitimate structures with and through which development interventions can work. The community also provides a pool of social capital that can act as an engine for collective actions. Finally, points at which people socially identify and organize organically can come together to offer deeply rooted ways of participation, imbued with ownership and a commitment to change. It is beyond the scope or needs of this study to detail all these points, which are in themselves substantial concepts and subject to critique, nor for that matter to examine their relationship to one another. However, each point is briefly unpacked below. The object here is merely to offer the core idea in the contribution they can make to sustainable development.

Indigenous knowledge is contextually refined information. It is what people in a community have created over time and continue to build up through the generation of new ideas, as well as by adapting and localizing external or imported ones. Such

¹³ Indigenous knowledge, also called local knowledge, is that which is created and used by people in a specific area. It can be the case that the knowledge originally came from elsewhere, yet has been internalized by people in an area through their own testing and adaptation to their circumstances (Compas, 2007).

knowledge is found in what people and communities do. It is how they relate to each other, the institutions they set up, and the norms and ceremonies they perform (Noyoo, 2007). In this respect, indigenous knowledge sheds light on the cultural elements of development. Found in all sectors, it includes but is not limited to agricultural research and farming systems, ecology and environmental concerns, health practices, skills training and food preparation studies (Brokensha, Warren & Werner, 1980; Compas, 2007; Korten, 1980; Noyoo, 2007).

Studies by Noyoo (2007) and the World Bank (2004) argue that context-refined knowledge offers a resource for development. In particular, it can be a starting point for a development initiative, as well as for screening information coming from the outside, assessing its local relevance. This is critical for development performance, as argued below:

Many theories imported from the West may not be able to find innovative solutions to Africa's development dilemmas. In many instances, solutions from this sphere (natural resources) have been grafted on the African social milieu with no consideration for adaptation at all (Noyoo, 2007:167).

However, in addition to stimulating change in a positive way, indigenous knowledge can also be a barrier to it, for instance when it takes the form of superstition or a rigid patriarchy.

Scholars with a specialist interest in indigenous¹⁴ institutions, among them Ake (1988), Uphoff (1992) and Krishna (2002), argue that such institutions have the potential to anchor those development projects that are introduced from the outside. If donors are prepared to work with and through them in introducing development programmes, they are more likely to put in place processes that will last. Local people acknowledge the authority of indigenous institutions. They trust, accept and feel part of them, rather than being alienated. Such acceptance is not automatic, but comes about over time, as institutions evolve through people working with and through them to address economic,

¹⁴ For the purpose of this study Ake's (1988) understanding of indigenous institutions is used. This is a reference to institutions that emerge from the local cultural, social and historical evolution. They are a genuine expression of the structures and their decision making processes that people are used to. Ake (1988) argues that traditional African institutions do not exist, due to a history of interaction with the exogenous that has modified them. Hence the term "indigenous institutions" is not synonymous with traditional African institutions.

social, cultural and religious problems. Once the people have received the benefits, they will accept the institutions (Ake, 1988). The primary argument is that, if the members of a community value something, they will come together to support it. They will negotiate to ensure that their own social institutions accommodate any change required, in particular at the interface with external ideas and processes (Uphoff, 1992). Echoing this point, Krishna argues that institutions will only work well when people buy into them:

Institutions are efficient and effective only insofar as citizens comply voluntarily with their rules and their decisions. Since individuals do not bind themselves readily to any and all decisions, only institutions that are deeply rooted within a particular society, which reflect and embody widely held notions of legitimate authority, can command allegiance and attract compliance widely. (Krishna 2002:4)

According to Ake (1988), local institutions bring to the development process familiar rules or norms, together with confidence and a sense of legitimacy. As such, they act as a critical reference point from which people can seek to improve their lives in the context of their own world view and values.

Social capital is generally accepted as referring to social structures and networks. These include groups in which people take part and what members of a community use to engage in collective action. Thus it is based on people's relationships and experiences with one another. The glue of social capital is trust, mutual exchange and unity (Prakash & Selle, 2003; Krishna, 2003). In the field of development, multiple studies on social capital, including those by Dale (2005), Harris (2002), Woolcock and Narayan (2000), argue that social capital is too important to overlook. It offers opportunities to influence development performance, specifically sustainable development, in two ways.

It can either include or exclude people from participation and change processes. It can create both opportunities and restrictions – the latter, for example, including those based on group rivalries. This suggests that, in order to mobilize people for development, those managing external support should orient their projects towards the existing social networks. At the same time they should remain aware of how social capital can help or hinder the effectiveness of the aid. It can be a source of manipulation, used to skew who participates and who benefits.

People organically convene their points of connection, and these allow for rooted participation. Behind collaborative will and action is the sense of a collective self, based on the individual identifying with and belonging to a group. This led Ake to conclude that ‘participation is linked to communality’ (1988:14). People participate because they belong to something bigger than themselves, especially to a community or society of which they are part. Ake (1988) argues that a sense of belonging or membership – whether based on age, ethnicity, linguistic group or location – underpins social capital and offers pre-existing connecting points for community agency. Studies on foreign aid, including one by Riddell (2007) and a European Union (EU) report (2011), suggest that the tendency of development assistance in the past has been to ignore this possibility (that people are already organized into groups) by establishing new participatory decision-making bodies, such as water point and health clinic management committees, or to take an existing social structure and build on it by imposing on it rules and terms of engagement that are external, that is, imported. In particular, the EU study (EU, 2011) suggests that such a route is often short-lived, all too often ending when external resources dry up. As a result, sustainability is sacrificed.

An alternative option to the *building on* described above is *building from*. In this case, participation is based on a process of negotiating terms that, according to Riddell, “evolves with different twists and turns involving the strengthening and loosening of alliances with different groups” (2007:376). The intention here is to forge participatory connecting points – that is, situations where people’s interests and energies come together for joint ownership and a commitment to change. Other authors, among them Esman and Uphoff (1984) and Uphoff (1992), argue that ownership and commitment happen when alliances/linkages between local institutions are strong. This view suggests a core principle. When local institutions – members, constitutions and clients – are linked to one another they can form a strong foundation of support, one that is well positioned to contribute to development programmes and initiatives. In short, strong indigenous institutions can be the bedrock for strong institutions aligned with externally introduced development programmes.

The above studies outline the basic concept of endogenous-sensitive development and make the case for its contribution to processes for change and development that can endure beyond the life span of a project.

2.2.3 Historical longevity

The theme of endogenous development has persisted for four decades in the writing on development. My purpose here is to establish that endogenous-sensitive development is deeply rooted in developmental thinking. It is both unnecessary and well beyond the scope of this study to itemize its historical trajectory and exhaustively to detail the various forms or ways in which endogenous-sensitive development appears and the actors (including international development agencies) that are in favour of it. Rather, I sketch out for illustration the critical waves of thinking over four decades and point to key proponents that have kept endogenous-sensitive development on the agenda.

From 1970 to the present, many studies, edited collections and journals (Malunga & Holcombe, 2014a), influential scholars (Ake, 1988; Chambers, 1983; Chambers, 2005; Kretzman & McKnight, 1993; Krishna, 2002; MacKenzie, 1992; Uphoff, 1986; Uphoff, 1992), practitioners (Davies & Dart, 2005; Pinnington, 2014), and respected development institutions such as the Organisation for Economic Cooperation and Development (OECD), the United Nations Economic and Social Council (ECOSOC), the World Bank and the Overseas Development Institute (ODI), have argued in favour of endogenous development. These authors put forward themes and ideas that informed different phases of thinking on the subject. Frameworks include those related to indigenous knowledge (Brokensha, Warren & Werner, 1980), people's participation in development processes (Oakley, 1995), human-scale development (Max-Neef, 1991) and asset-based community development (ABCD) (Kretzman & McKnight, 1993).

The literature demonstrates that, while different terms, methodologies and guises exist, this paradigm has consistently remained in the script of thinking on development. Of critical significance for this study, given its African focus, is the resurgence of interest in endogenous development on the African continent. This is exemplified by the 2014 special issue of the *Development in Practice* journal on endogenous development in Africa, the findings of which support the timely relevance of this study.

The above studies on endogenous-sensitive development point to its ongoing relevance to developmental thinking and practice. Given that endogenous development has been on the agenda for four decades and is regarded as critical to bringing about developmental processes and change that will last and not fade away after the end of a project, one could be forgiven for assuming that it is, in fact, widespread and practised on the ground. This would be the logical implication and one that is reinforced by the absence of any significant body of literature that argues to the contrary. There is no established set of studies or cases rejecting endogenous development as a principle. In fact, it is a “motherhood and apple pie” kind of idea, in that it is hard either to object to or disagree with it. However, studies suggest that on the ground it is rarely practised. This reality is best exemplified in the notion of communities as “clients” of development assistance, rather than “citizens” engaged in and leading their own change processes (Mathie & Cunningham, 2008:viii). The question that needs to be answered is: What obstructs the implementation of the basic development principle of building from the local? Clearly, there is a need to unravel what gets in the way.

While operational factors such as community motivation, leadership and the capacity to participate in development and change processes could arguably be obstructive, the following section presents the literature on features of the international aid system itself that militate against endogenous development in favour of a focus on structural and systemic concerns. The implication is that the primary problem rests with how the international aid system is set up (Easterly, 2003:1). The section below, therefore, presents the literature focusing on the propensity of the international aid system (also referred to as “foreign aid/assistance” or “official development assistance”¹⁵) to favour itself, exhibiting a bias towards its own preferred ways of working at the cost of endogeny.

¹⁵ The Development Assistance Committee (DAC) of the Organisation for Economic Cooperation and Development define foreign aid as flows of money (a grant or loan), technical expertise or materials. Their purpose is to improve the economic situation and welfare of a nation or population (Radelet, S., 2006).

2.3 The international aid system

Here I focus on what studies on international development assistance reveal about why endogenous-sensitive development is rarely practised. The aim is to establish that the power dynamics in international aid are premised on a donor-suppliant relationship, resulting in certain behavioural characteristics. Doing so reveals the structural and systemic factors and resultant conduct that constrain endogenous development. Based on this understanding, I frame the aid system as vertical philanthropy (mobilizing external resources, including international aid) so that it can be juxtaposed on horizontal philanthropy (mobilizing community resources from within a community for self-help) (Wilkinson-Maposa et al., 2005). This is a vital factor in my effort to gauge the endogeneity of organizational behaviour. It foreshadows a description of this juxtaposition given in Chapter 5 and its visual representation as a philanthropic arc made up of a spectrum of behaviour to be introduced in Chapter 3.

2.3.1 An exogenous bias

The literature discussed below on the relational pattern between donors and recipients shows that the aid system favours itself – the exogenous. It reveals a power imbalance that subordinates existing social and institutional arrangements (the endogenous) in developing or recipient countries to those modelled on developed or donor countries (the exogenous).

Since the 1990s, this inequity was covered up by the rhetoric of development “partnership”, a term that implied shared power and responsibility. It is imbued with the idea that both international experience and local realities come together to make the best use of modernizing resources such as capital, technology, and knowledge. Such a partnership assumes that any deficit that the “developing country may have” can be solved (Hauk & Land, 2000). In exposing this imbalance, Hauk and Land point to the hope that the concept of partnership would become a panacea for past shortcomings in aid relationships.

A key proposition is that partnership between the North and South helps to build local ownership of development initiatives, as well as to improve donor coordination and donor “behaviour” more generally. Through a

negotiated process based on dialogue and broad participation, external and internal stakeholders are better able to determine common goals and interests, based on a more complete understanding of the local context (2000:2).

Offering another view, Baser and Morgan (2008) argue that a country's "ownership" of development investments, programmes and projects is necessary as a way of managing donor-recipient processes. At the same time, they point out that there was a concern within the international aid industry that recipient countries did not have the institutional and organizational capabilities needed for development. In response, the international aid machinery stressed building this capacity in order to strengthen operational and management capacity in the governments and civil society bodies of the recipient countries. This reaction ushered in externally driven OD efforts typically referred to as "capacity building" and "institutional strengthening projects".

The idea was that such interventions would ensure that recipients were both effective and accountable for the aid investment received. Behind such thinking was the assumption that local people, officials, governments and non-profit organizations (NPOs) could acquire a set of new skills and proficiencies that would conform to the way international aid donors preferred to work. Exemplifying this approach are donor requirements such as project planning and reporting based on a logical framework (Tembo, 2008). The assumption is that building capacity relies typically on external experts. This imposes a scientific and positivist world view that may not be consistent with that of the recipients (Wallerstein, 2006). Indeed, the focus on capacity building is an imposition that becomes tricky when external ways of knowing and doing are valued most highly, and internal local abilities, knowledge and ways of seeing the world are downplayed, seen as less useful, even backward, and are sidelined in the process.

A further consequence of the emphasis on ownership and capacity building was to "standardize" the approach to development practice across development players, government and non-governmental actors (Wallace, Crowther & Shephard, 1998). In this process, the concepts and vocabulary of development that had been associated with non-governmental organizations (NGOs) – for example, empowerment, partnership and participation – were adopted and understood from the perspective of the official aid system. They became a widely used nomenclature or way of speaking within the

industry, creating an industry discourse that overruled alternative structures and definitions of concepts and ideas (Moncrieffe & Eyben, 2007).

Focusing on these key drivers, Riddell (2007) maintained that attention to ownership and capacity would resolve previous challenges to effectiveness that were associated with donors tying aid to their national contractors. In essence, they created their own in-country delivery systems. This was a strategy to get around corrupt and inefficient states (2007:18). Today, however, more attention is supposedly given to strengthening a country's own institutional framework as a system for improved aid effectiveness (Gillies & Alvarado, 2012). But even this approach raises doubts about the donors' willingness to take local contexts and endogeny seriously enough to subject their ways of working to the requirements of recipients.

Since the modern era of aid giving began after the Second World War donors have sought to improve the effectiveness of their aid. In the 1980s and 1990s a shift towards policy lending (as opposed to project lending) dominated aid spending, along with a rise in the role of private agencies and contractors (both for profit and not for profit). In response to a perceived mishandling or downgrading of the potential role of the state during this period, the Paris Agenda strongly emphasised greater use of recipient government systems in the 2000s, primarily with a view to strengthening their capacity and accountability. Now, in a context of limited progress towards increased "use of country systems", that agenda is also being reassessed, both for failing to accommodate non-state actors into its purview, and for applying an over-rigid set of solutions that fail to take sufficiently into account the contexts of both recipient and donor partners (Glennie et al., 2012).

One reason for the imposed rigidity suggested above is increasing strictness in terms of (austerity-driven) demands for value for money and accountability in the context of donor-determined performance metrics (Emmi et al., 2011). This trend could, however, be offset by the advent of a new generation of funders on the aid landscape (Severino & Ray, 2010). Some of them give greater attention to South-South (Konijn, 2014) and trilateral cooperation (McEwan & Mawdsley, 2012) that could usher in selective donor sensitivity to endogeny. Nevertheless, the general vertical imperative and scenario remain (Organisation for Economic Cooperation and Development [OECD], 2009). Indeed, aid agencies continue to set the rules of the game in favour of their domestic concerns, constituencies, interests and what they know, rather than what they could

learn and adopt from the way poor nations and people sustain their lives and livelihoods. In other words, learning to be more horizontal is needed not only for CPOs and for community development, but also for the aid industry in general, if it is to take the Paris Agenda principle of local ownership and sustainability seriously.

A case has been made for the argument that the aid system is unable or unwilling to accommodate endogeny, to the point even of suppressing its potential.

2.3.2 Behavioural characteristics

The literature discussed below on the behavioural characteristics of international development assistance reveals six interrelated and specific behaviours of international aid that, under the rubric of holding onto power, could account for an enduring exogenous bias. These are nationalism, short-termism, top-down approaches, the rhetoric of development-speak, external performance metrics, and upward accountability. They are briefly addressed below, with particular reference to how each constrains endogeny.

Nationalism

Within the international aid system, national governments protect and advance their own interests and agendas (OECD, 2009). They do this by holding onto power and avoiding its transfer to local actors. Typically, it is done by using bilateral or multilateral agencies as the channel for aid. While this affords the donor nation a certain level of control, it runs counter to local ownership. The interests and priorities of the giving nation, based on its own technical and human assistance package, tend to dominate. The result is a promotion of the donor nation's agenda and priorities at the expense of those of the receiving nation and/or local community. Thus the option of development that promotes ownership and self-reliance is discounted.

Short-termism

Development assistance tends to be packaged in short-term projects lasting one to five years. This practice tends to militate against long-term systemic change. Furthermore, it can be sector-driven (focusing for example on health or education), rather than guided by a comprehensive or systems approach that looks more holistically at a challenge or

opportunity. Projects tend to be managed and reported on against the logical framework of planning tools that tend to be tied to specific inputs and deliverables, in exchange for certain outputs and outcomes. Rather than being offered as a package of resources that can be drawn upon in a way that is flexible to context and the volatility of a situation as it changes, this tight structure tends to curtail room for customization, self-correction and re-planning (OECD, 2009).

Top-down approaches

Holcombe argues that in their totality, western thinking and approaches to development are “top down” rather than “bottom up”, and “mechanistic” rather than “organic” (2014:754). The implication here is that the donor establishes the rules of the game and guides the donor-recipient relationship, making the local partner and community the object rather than the subject of discussion.

The rhetoric of “bottom-up” development-speak

Related to a top-down approach, the development industry shows a propensity toward trends and language that frame development assistance. While this generates a high degree of talk about issues such as local ownership and people’s participation, in reality it often amounts to hypocrisy. Holcombe (2014) asserts that the donors need to produce results that can be measured. This leads exogenous development actors both to drive implementation and to minimize the roles of endogenous actors and their chances of building local capacity.

An external performance metric

Within an aid project, performance is typically assessed against measures valued by the donor, rather than the recipient and based on project agreements. Consequently, the expected deliverables and outcomes are those of the giver rather than the recipient, and tend to focus more on the numbers game than on other less tangible outputs such as behaviour change. Holcombe asserts that:

In development when the counting gets done it may exclude the important variables about local ownership, capacity, and sustainability because these are hard to measure (2014:760).

Upward accountability

An increasing focus on development management and performance in the past decade has resulted in pressures to make the funding agency accountable for the use and effect of resources, rather than downwardly accountable to those being served (OECD, 2009).

The studies referenced above on the international aid system enlighten us on their typical or associated behaviours by pointing to key features. The question that needs to be answered is: What does this mean operationally for the development community? This means getting to the bottom of what local development actors – including but not limited to NGOs and CBOs – practically confront and have to contend with when dealing with their international aid counterparts and/or projects supported by them on the local landscape where development is practised.

The next section presents five characteristics of development organizations – including CPOs introduced later in this chapter – and describes what people who are poor and involved with international aid support projects have to deal with on the ground.

2.3.3 The international aid system as vertical philanthropy

Studies by Fowler and Wilkinson-Maposa (2013) and Wilkinson-Maposa and Fowler (2009) critically reflect on international aid as it is experienced and practically lived out on the ground. While few studies portray the international aid system – including official development assistance – under the lens or rubric of philanthropy, it will be relevant for this research. Wilkinson and Fowler's (2009) portrayal of international aid (the exogenous) as “vertical philanthropy” contrasts with the conventions of resource mobilization for self-help in poor communities (the endogenous), labelled “horizontal philanthropy”. Their study generates a normative point of reference that informs the development landscape. It provides a set of tangible indicators that have a counterpoint in the key features of horizontal philanthropy elaborated in Chapter 5 that can be used or applied to the actual assessment of an organization's behaviour as carried out in the Horizontality Gauge (HG).

The five features of vertical philanthropy framed below were influenced by the prior work of Wilkinson-Maposa et al. (2005), Wilkinson-Maposa and Fowler (2009), and

Fowler and Wilkinson Maposa (2013). This focused on identifying five key dimensions of African conventions of self-help and mutual assistance in poor communities. The five counterpointed dimensions of vertical philanthropy are mirrored against endogenous categories that emerged from a study (Wilkinson-Maposa & Fowler, 2009) into how and why people who are poor help one another.

The five dimensions of vertical philanthropy that inform the developmental landscape of CPOs are: deficit modelling, value in the quantum, development as rising above the poverty line, compliance with agreements, and being a legal entity. Each of these is discussed below.

Deficit modelling

Aid sees development as a way to provide resources that are vital to economic and social development but that are missing. According to Riddell:

Aid is something which is added: it is something which increases and is additional to what the aid recipient country currently has – providing an increase in resources, or an increase in knowledge, know-how or skill (2007:176).

Deficit modelling justifies aid budgets and the institutional infrastructure both of domestic mobilization in donor countries and of delivery systems in recipient countries. The arrangement satisfies the political interests of both parties, yet can undermine the ability of citizens to hold government to account, since domestic tax revenues (i.e. national resources) play only a modest role in public spending (Riddell, 2007).

Value in the quantum

Aid bureaucracies are preoccupied with budgets and securing resources from the public purse. Numerical targets for aid allocations create a fixation on the quantum or amount of assistance to be given, and on the cost of the resources to be deployed. Statistical tables on aid maintained by the OECD are an example of the fine-grained attention paid to the quantification of development assistance. This bias is also found in non-governmental development organizations. Evidence of this quantification of aid is seen, for example, in the European NGO Caritas, that – deep down – is driven by its moral imperative to raise more money to do more for more people (Fowler, 1999). The focus

on numbers also translates into performance metrics, particularly financial reporting against planned expenditures, activities and beneficiaries in line with the logical framework analysis, or logical framework tool (Holcombe, 2014).

Development is about rising above the poverty line

Studies (Holcombe, 2014; United Nations Children's Fund [UNICEF], 2013) show that aid is intended to focus on helping people who are poor to rise above an international poverty datum line and that the ability of a country to do so is causally linked to the growth in its Gross Domestic Product (GDP) per capita. Interestingly, it is only recently, according to a UNICEF report (2013), that issues of distributional inequalities have been treated as being too "political" for donors to engage with. Indeed, as stressed by Holcombe: "The dominant development priority has been economic growth, as opposed to livelihoods and social/human development" (2014:750). The imperatives of poor people maintaining their position under adversity are omitted from this picture. Attention is given instead to how they manage to avoid falling into further adversity under the effects of inflation and other pressures. As a result, important efforts to prevent people from slipping further into poverty are discounted as "survivalist" and not qualifying as developmental change. Similarly there is little interest in strategies that allow them to survive, an objective actually valued by those who are poor (Wilkinson-Maposa et al., 2005).

Compliance with agreements

Wallace, Bornstein and Chapman (2006) reveal that, while labelled as a "partnership", relationships along the aid chain involve some form of enforceable contract or written agreement. Increasingly, this is an outcome of competitive bidding, including tendering with specific attention to the quantification and specification of the deliverables noted previously. This is a low-trust, essentially coercive and precautionary way of functioning. Compliance here means living up to agreements in which asymmetric power relations are at play. For example, a donor's withholding of payments can be catastrophic for a recipient, but is seldom so for the giver. This is one reason why some studies (Bamberger, Rugh & Mabry, 2006; Patton, 2010) maintain that evaluations are often sources of anxiety, given their potential impact on further decisions about assistance, rather than the learning opportunity that they are supposed to be. Irrespective

of how fair and mutual agreements may be, power asymmetry is a condition that makes compliance a one-sided affair in favour of the resource provider.

Being a legal entity

Flowing from the above, the need to be accountable for resources transferred, for example to local communities, requires the recipient to be a legal personality, or at least formally registered with some government department. More often than not, officially aided change is blinkered, if not structurally handicapped, by this requirement of formal registration. As a result, official aid is often unable to recognize and work with the informal ways, such as *stockvels* – savings clubs in South Africa – or burial societies, in which poor people organize the life of their communities (Wilkinson -Maposa & Fowler, 2009).

The five dimensions of vertical philanthropy highlight what local development actors and communities face at ground level in dealing with development projects. The question that needs to be considered now is: How does this differ from the ways in which communities help themselves in mobilizing their own assets and agency to bring about change and improvements? While the dimensions of vertical and horizontal are juxtaposed elsewhere in this study, here I foreshadow this by pointing out how the difference between vertical and horizontal philanthropy can result in the vertical obstructing endogenous-sensitive development. In making this comparison I acknowledge that while the actions of the poor must be valued, not everything from the poor is superior.

The idea of using external aid to fill a gap and provide what is missing in a situation or context essentially runs the risk of overlooking and undervaluing the redistributive efforts made by people in poor communities to address their own needs (Wilkinson-Maposa & Fowler, 2009). There is a difference between plugging a hole by providing what is missing and building on the existing efforts of a community to address a gap in what they already have. Furthermore, emphasizing quantum – how much and how often – runs counter to endogenous development, with its focus on the act of doing, as practised by the poor in southern Africa. Appreciation is given to the act or effort, regardless of whether it is enough (Wilkinson-Maposa & Fowler, 2009).

The idea of development as lifting people above the poverty line, with its emphasis on economic growth, fails to take into account that development can also be about assisting people to preserve their current circumstances. However, strategies to spread risk for greater resilience are, from the aid industry perspective, a poor substitute for economic drivers and measures of change, and are noteworthy by their absence. This perspective militates against endogenous-sensitive development. A study by Wilkinson-Maposa et al. (2005) showed that self-help activity in poor communities is focused on assisting a person or household at the very least to maintain their current position and avoid slipping into deeper poverty.

Furthermore, the focus on legal agreements and contracts, with its lopsided power dynamic, runs counter to another feature of endogenous development, as the practices used by the poor in assisting each other are not written down. Rather, they engage in a social contract. While the parameters or an understanding are set, they remain flexible and can shift or be renegotiated in response to a changing context or circumstance. Further, the issue of power asymmetries is irrelevant, since help among the poor is premised in mutuality, with the one being helped today being the one who helps another tomorrow. Accordingly, the poor are familiar with being both the one who gives and the one who receives (Wilkinson-Maposa et al., 2005).

The imposition of legal registration before an organization can receive development aid is clearly an obstacle to endogeny. Many forms of indigenous giving and organizing neither require nor aspire to this status. Studies from South Africa, including by the Charities Aid Foundation Southern Africa (CAFSA) into norms and conventions of individual giving (2015) and an assessment of civil society organizations (Swilling & Russell, 2002), reveal that many groups are not registered and relationships are not formalized. A survey of civil society organizations (CSOs) to which people in South Africa belonged found that in 53 per cent of cases the entity was not formally registered (Swilling & Russell, 2002:20). The CAFSA study of giving among ordinary citizens in Gauteng Province, South Africa, confirmed that people do give to organizations. However, the bias is toward those that are informal, membership-based, operating at the local level and involved with self-help and mutual assistance. These include, for example, savings and credits clubs and burial societies (2015).

The above literature on endogenous development highlights its importance as a development principle and challenges the practice of international aid based on power asymmetries premised in a donor-suppliant relationship. It reveals an exogenous bias in the structure of international aid that runs counter to endogenous-sensitive development. In the next section, I move beyond this topic at an abstract level to see how it plays out in practice. To illuminate this, I examine the case of community philanthropy.

2.4 The case of community philanthropy

The literature on institutionalized community philanthropy points out how its distinctive characteristics are meant to align with endogenous-sensitive development. It then goes further to explore the literature on the observed behaviour of CPOs as it relates to endogenous-sensitive development. Two examples examine the match or alignment between what organizations profess to do and what they actually do. This comparison reveals an existential gap between aspiration and practice, with negative consequences for both credibility and effectiveness.

2.4.1 Community philanthropy

Here I focus on the literature relating to the definition and framing of community philanthropy, reviewing it in terms of its structure, strategy and intended outcomes, with a focus on its distinctive features. The aim is to distinguish CPOs from other CSOs. I also examine the alignment of the intended characteristics of CPOs with endogenous-sensitive development. In doing so, I substantiate the premise underlying this study, that CPOs are well positioned at least in theory to be the drivers of endogenous development.

The body of literature relevant to this study, given its focus on organizational behaviour and practice, is concerned with institutional strengthening and improving development effectiveness. This led me to consult grantmaker, network and think-tank studies, rather than academic literature. Only a handful of such organizations commission and generate this type of study, either on philanthropy in general or to varying extents on community

philanthropy. They include the European Foundation Centre (EFC)¹⁶, the Worldwide Initiative for Grantmaker Support (WINGS)¹⁷, the Global Fund for Community Foundations¹⁸, and the Monitor Group¹⁹.

Here I explore the literature defining community philanthropy and what community philanthropy organizations are meant to be. One study suggests that community philanthropy is not defined in a uniform way. There is no one definition. Knight interprets this to mean that the field is hard to build and still being built (Knight, 2012). For this study, I drew upon two definitions. They complement rather than contradict or detract from each other.

In defining community philanthropy, the Monitor Institute emphasizes the act of mobilizing resources for the benefit of others. This implies that the transfer is to a community that lacks such resources. In this case, community philanthropy is defined as “the practice of catalysing and raising resources from a community on behalf of a community” (Kasper, Marcoux & Ausinheiler, 2014:2). However, this definition ignores the possibility of mobilizing resources from within the community itself, with ordinary people pooling their own resources to strengthen their community. The EFC definition, however, picks up on this gap. It acknowledges the importance both of mobilizing organic resources within a community and of acts of self-help. It gives attention to the endogenous and is hence appropriate for use in this study. Other studies (Aina, 2013; Moyo, 2013; Ngondi-Houghton & Kingman, 2013; Wilkinson-Maposa et al., 2005) reinforce this emphasis. Wilkinson-Maposa et al. (2005) argue that two types

¹⁶ The European Foundation Centre (EFC) advances and supports the efforts of foundations and corporate funders active in and with Europe. It is a membership body that hosts programmes and conferences and is international in its focus. EFC is not a grantmaker.

¹⁷ WINGS is a global network of membership associations. Its core mission is to support organizations that serve philanthropy. It is global in its reach and members, and is active in the South. It does not award grants, but rather services the industry. Community philanthropy is one focus area.

¹⁸ The Global Fund for Community Foundations provides grants and other types of capacity building and advocacy support to community foundations, other local grantmakers and networks with the objective of institutional strengthening; their focus is specifically on community philanthropy. Geographically, they target the global South and emerging economies in Central and Eastern Europe. These seek to improve the effectiveness of community philanthropy and influence the field by targeting key audiences. These include foundations themselves, policy makers, governments and international development agencies. The fund itself is a grassroots grantmaker.

¹⁹ The Monitor Institute, part of Deloitte Consulting, is a social enterprise. It provides strategic advice and innovation to the social sector with its primary target group being global development organizations. Philanthropy, including community philanthropy, is an area where they exercise their think-tank function, looking at, projecting and shaping its future.

of community philanthropy co-exist. These are philanthropy *of* community (PoC) – exemplifying self-help, and philanthropy *for* community (PfC) – referring to the international aid system²⁰.

The EFC definition, expanded below, has a number of features I consider critical for this study. Community philanthropy can be both institutional and organic. Resources can be either material (money and goods) or non-material (skill and time). Implicit here is the notion that mobilizing resources can serve a greater or common good, can be the action of individuals or an organization, can be for the benefit of a community to which the giver belongs or to another community, and can contribute to positive social change by addressing social issues, injustices and poverty.

Community philanthropy is the act of individual citizens and local institutions contributing money or goods along with their time and skills, to promote the well-being of others and the betterment of the community in which they live and work. Community philanthropy can be expressed in informal and spontaneous ways such as citizens and local businesses helping other residents in times of crisis. Community philanthropy can also be expressed in formal, organised ways, whereby citizens give contributions to local organisations which in turn use the funds to support projects that improve the quality of life in the community (Amorim & Leat, 2001:9–10).

A review of the literature offers both a narrow and an expansive view of what “community” means. The world of community foundations sees “community” narrowly in geographic terms. It denotes a physical area – for example, a region, city or town – that the foundation serves. This is reflected in the names of foundations, for example, the Mozambique Island Community Development Foundation and the Newmont Ahafo Development Foundation in Ghana (Hodgson & Knight, 2012). However, a study by Bernholtz et al. (2005), together with the WINGS definition²¹, suggests that a community can be based on social networks (a cultural or language-based identity or group) or linked to a specific subject or concern – for example, the environment, women or youth.

²⁰ This is detailed in Chapter 5.

²¹ WINGS defines community as follows: “Community is often defined broadly, to refer not only to a specific geographic area, but also to a group with a common interest, such as the Chinese community, the women's community, or the arts community” Available: <http://www.wingsweb.org/?page=glossary>. [2015, October 18]

For the purpose of this study, I apply the expansive definition. This allows for multiple possibilities that reflect the range of institutionalized forms included in this study, as discussed below.

The literature that describes institutional philanthropy as diverse is relevant to this study as the terrain is broad. It includes community foundations, trusts and funds. A decade ago, as noted by two authorities on the subject (Bernholtz et al., 2005; Sacks, 2009), community foundations, at least in the popular understanding of them, monopolized the community philanthropy arena, to the extent that community philanthropy came to be equated with community foundations. Now, however, they compete for the community philanthropy space:

Recent years have seen expansion and diversification in the range of other community philanthropy organisations – including United Ways, giving federations, identity-based funds, giving circles, hometown associations, healthcare conversation foundations, commercial charitable gift funds, and other community-based public foundations (Bernholtz, 2005:3).

This inclusive view acknowledges the expansion and growth of the sector, a reality that is reflected in the cases included in this study.

None of these descriptions, however, offers tangible features. Until 2014, research had identified no unique objectives of performance that operationally defined community philanthropy. In the next section, we look in detail at current thinking as it is captured in a pioneering effort.

2.4.2 Distinctive features

Only one study, namely that of Knight (2012), discusses the ways in which a CPO, is broadly distinct from an NGO. A second study, commissioned by the Global Fund for Community Foundations (2014), went further, identifying three unique features of community philanthropy. Both these studies were part of an effort by the Global Fund for Community Foundations to engage in consultations²² that could capture the status of

²² The study authored by Knight (2012) drew its data from community philanthropy experts and practitioners who participated in three round table discussions held in Washington, Johannesburg and Dhaka. The study authored by the Global Fund for Community Foundations (2014) drew its data from 110 community foundations hailing from six regions: Africa, Asia, Latin America, the Middle East and

the field and make the case for community philanthropy to donor agencies. This belonged to an advocacy strategy to further develop the sector and its potential (Knight, 2012; Global Fund for Community Foundations, 2014). Knight (2012) identified two features that distinguish community philanthropy from other CSOs²³: the contribution of community money and other resources, and the importance of social justice. He suggested that using local assets embodied the idea of “taking what we have to build what we need” (2012:4). This included members of a community donating their own money towards building a long-term asset, typically an endowment. It is generally recognized that, in the classic model of a community foundation that emerged from the United States (US), endowment building is a quintessential feature (Hodgson, 2009; Gilbert, 2009).

A further feature of community philanthropy is that the benefits are widely shared, rather than being targeted to a few groups in society. The benefit is seen as a “public good” generated from the processes and outcomes of “reciprocity”, “solidarity”, “social capital” and “trust” (Knight, 2012:4). Studies of community philanthropy emanating from Africa, including those by Wilkinson-Maposa et al. (2005), Knight (2012), Murenha and Chili (2011) and, writing on the Kenyan example, Ngondi-Houghton and Kingman (2013), concur on this point.

The second study commissioned by the Global Fund for Community Foundations complements the first, further refining the unique offerings and strategic advantages of community philanthropy. It posits that this has three essential features. These are strengthening assets (community resources), capacities (community abilities) and trust (the community’s ability to relate to both internal and external stakeholders (Global Fund for Community Foundations, 2014:1). Each is briefly discussed.

Central and Eastern Europe, as well as data from the fund’s own grantmaking experience across 52 countries and to 157 organizations.

²³ The study maintains that CSOs have four key features. The characteristics are: “organised and structured; self-directed; open architecture and civil society.” (Knight, 2012:4.)

Building community assets

This feature refers to the active soliciting and mobilizing of local resources. There are two ways to do this: by establishing an endowment fund and through uniting communities. An endowment fund (accumulation and investment of capital to generate interest that is used for community initiatives) establishes a financial resource in perpetuity. This signals that the CPO has a long-term commitment to the community. It is there for the long haul and is not a passing venture. This stands in contrast to the more typical donor-funded NGO projects that are usually short-term and time-bound. Forging community bonds and enhancing associations among local people by tapping into traditions of mobilizing a resource, be it money or labour, leadership or local knowledge and systems of accountability, is another strategy that can act as an adhesive that binds the community together (Global Fund for Community Foundations, 2014).

The Global Fund for Community Foundation's report argues that development brought about by mobilizing local assets is more likely to last:

Community foundations represent a different model of development, one that is based on the idea that development outcomes are more lasting when people invest their own resources to address their own issues. They are trying to create new types of philanthropy behaviour and practice by blending local resources and traditions of giving with new forms organisation (2014:7).

Strengthening capacities

The second feature refers to the local grantmaking model. It transfers resources directly into the hands of organized community groups (called grantees) to carry out initiatives following their own priorities and interests. As such, grantmaking is a form of community outreach and empowerment. This approach differs from more conventional development initiatives where a project takes place at the local level, often *for* or *to* the community or *with* them, but not typically *by* or *from* them, as is the case with a community grant (Hodgson & Knight, 2012:21; Wilkinson-Maposa, 2009c:60).

Trust building

The third feature refers to the centrality of connections and partnership. Because a CPO is often an intermediary between members of a community who are trying to help themselves and external actors outside the community – such as an international aid organization or a national corporation that makes resources available to help others – brokering is a key function, as summed up below:

.... much of what they (community foundations) do translates as building trust. Indeed, ...what really makes community foundations effective is their role as a kind of “runny glue” in building partnerships, connecting and defending groups in the community while all the time giving highest priority to accountability to local people (Global Fund for Community Foundations, 2014:6).

The allusion to “downward accountability” is underscored with the argument that “foundations are trusted to reflect local needs and opportunities, and they see themselves as accountable to the people within their communities” (Global Fund for Community Foundations, 2014:6).

The above studies on the unique qualities of community philanthropy point to where they converge and find alignment with what the literature on endogenous-sensitive development says about its own definitive features. Asset building, through an endowment based on local money and bringing community members together for a resource base that is long lasting, aligns with the sustainability thesis justifying endogenous development. Thus change will be sustainable only if it can build upon what is organic or natural to a community. Furthermore, a grantmaking model designed to mobilize community action and agency puts local people in charge of their own efforts towards change, allowing them to lead and control the development effort, a key feature of an endogenous-sensitive project. Finally, downward accountability – the imperative that the organization must answer to the local vision, priorities and ways of working – aligns community philanthropy with endogenous development, placing the local first and then external resources and efforts as a necessary and welcome support but in a complementary role.

The findings of the studies by Wilkinson-Maposa, (2009c), Ngondi-Houghton and Kingman (2013) and Murenha and Chili (2011) drawing on the African experience

highlight the centrality of community in community philanthropy, a conclusion that is reinforced in other studies. Bernholtz et al. (2005), for example, argue that community is a calculated benefit: “The field has long known and acknowledged that its strategic advantage is in its community knowledge, relationship, and leadership.” Reinforcing this, Hodgson and Knight (2010), drawing on a global study, stress a truism: “You can’t be a community foundation if the community is not engaged with you” (2010:9). The Charles Stewart Mott Foundation further emphasizes the point of community centrality. Despite the different types and structures of community philanthropy, they maintain that:

... at its most basic it [community foundation] is an institution *of* the community and *for* the community, in which a wide range of residents work together to create long term strategies and solutions for developing vibrant, sustainable communities – and they use local resources gathered from a diverse donor base to do it (2012:12).

The Global Fund for Community Foundations illustrates different strategies for community engagement. These include but are not limited to deliberate attempts to reach marginalized people with community grants, mobilizing volunteers for events, securing grant approval from multi-stakeholder decision-making bodies, community consultations, village-level meetings, as well as procedures that allow community members to monitor the foundation’s work (Hodgson & Knight, 2010).

Finally, WINGS (2014) weighs in as a critical voice, stressing that community philanthropy is embedded within a community and is not external to it. This gives it the strategic advantage of tracking what is happening: “Because community philanthropy works from within communities, it can help ensure a sustained focus on certain issues and challenges communities face, which is a recurring problem for many donor and aid agencies” (WINGS, 2014:5).

While this literature enlightens us on three salient features of the community philanthropy development model, the studies on endogenous development counsel caution, taking into account the power held by the international aid system and the tendency of its favoured ways of working to prevail. The questions these studies raise are: how and to what extent does the community philanthropy model translate into

practice? What happens when the need for financial sustainability and credibility in the eyes of donors conflicts with the need to place community at the centre of practice? The following section reviews the literature on the tension between upward accountability to a donor and downward accountability to the community.

2.5 The aspiration-practice gap

By focusing on the practice of community philanthropy in the literature, I examine ways in which CPOs favours the community (for an endogenous orientation) or its donors (for an exogenous orientation). Studies reveal that the notion of community at the centre of a CPO's practice is not always observed: CPO behaviour is prone to fall short of this ideal. There can be an exogenous bias. In this case, the CPO favours how the donor agencies work, adjusting its own behaviour towards them. Bernholtz et al. (2005) (at the Monitor Institute) considered the sector-wide norms and practices of community foundations in the US from the mid-1990s to mid-2000s and Roux (2001), an evaluation of a programme to incubate community foundations in South Africa, assessed the effects of an international foundation-funded project to import this model to South Africa in the late 1990s and early 2000 period.

Bernholtz et al. (2005) revealed that community foundations in the US were preoccupied with institutional strengthening, to the detriment of building community. Concerns about sustaining the organization, such as survival and growth in a competitive funding environment, placed their focus on operational efficiency. This included technical capacity and financial management (e.g. endowment building). Foundations placed less value on community building. Their leadership role as a community promoter was given less consideration. The result was a disconnect between aspiration and practice. The study summed it up in the following way:

The field has long known and acknowledged that its strategic advantage is in its community knowledge, relationships, and leadership. But with notable exceptions, it is still basically rhetoric. To capitalise on their unique advantage, community foundations will need to refocus on why they exist and whom they ultimately serve (Bernholtz, 2005:36–7).

Roux (2001) revealed that too little attention was being paid to customization to the local context. At the end of a three-year incubation process²⁴ very few foundations survived (Southern African Grantmakers' Association [SAGA], 2000; Roux, 2001). Ten of the twelve faltered and did not remain after the project had been concluded (Colleen du Toit²⁵, personal communication, 2015, April 30). The programme evaluation report suggested that copying the US community foundation model, moving it from an American to a South African context, was problematic: “over-adherence to the ‘US model’ could limit the development of appropriate indigenous CFs [community foundations] suited to local contexts and conditions” (Roux, 2001:50). The donor agency²⁶ itself hypothesized that community foundations were not sensitive enough to the existing ways that people in African communities helped each other²⁷. Foundations were set up as if nothing philanthropic already existed. Emerging foundations did not sufficiently focus on the endogenous aspects, including African norms and conventions of resource mobilization; rather the focus was on importing exogenous values and practices. These were linked to building an endowment based on an American model of resource mobilization for communities (Roux, 2011). It was not a South African model, and thus was external, that is, exogenous.

The above studies enlighten us on the aspiration-practice gap and signal the need for corrective measures. In the case of South Africa, the donor funded an inquiry²⁸ into African practices of philanthropy in poor communities, that is, the lived environments in which community foundations work, in four southern African countries. This could well make it harder to overlook and undervalue local traditions in the future. The inquiry described the organic systems of self-help and mutual assistance, naming them as “philanthropy of community” (PoC) (Wilkinson -Maposa et al., 2005) and in so doing established benchmarks of horizontality. My study uses the elements of this system and associated theory as its conceptual framework, as noted below. In the case of the study by Bernholtz et al. (2005) community foundations were called upon to self-correct and

²⁴ The process began in 1997.

²⁵ Previous director of the Southern African Grantmakers Association (SAGA) that hosted the project.

²⁶ The Ford Foundation.

²⁷ This concern informed a discussion at the EFC conference (2002) which resulted in the Building Community Philanthropy (BCP) project, an inquiry that interrogated African conventions of resource mobilization in poor communities.

²⁸ The BCP project.

make good on the community building promise. They were challenged to move away from focusing on the delivery of philanthropic products, or on the number of grants awarded or people trained, and to emphasize their own leadership in offering guidance, advocacy and resource management to those being served. The imperative to do so was emphasized as follows:

With many other types of organisations able to handle the services that community foundations have traditionally managed – often with lower costs and great efficiency – community foundations more than ever before will need to “walk the talk” of community benefit and demonstrate their value by emphasizing their impact on and accountability to their communities (Bernholtz et al., 2005:7).

The call was clarified further with the following conclusion:

Each community foundation must ask itself: What is the problem to which this institution is the solution? The answer will vary from place to place, but we believe that in the future, the answer will increasingly be this: mobilising a community and its resources to recognize the community’s collective aspirations, engage its own toughest challenges, and embrace its most inspiring opportunities (Bernholtz et al., 2005:38).

While community philanthropy is called upon to narrow the aspiration-practice gap, the question that needs to be answered is: How is this to be achieved? A study by the Monitor Institute proposed a focus upon “bottom-up efforts” (Fulton & Blau, 2005:23). This refers to building upon what already exists and suggests that the results of the benchmarks of horizontality noted above are relevant. This foreshadows the process of conceptualizing the assessment of endogeny addressed in Chapter 5.

Having established the aspiration-practice gap in community philanthropy, I examined what the literature reveals about the tools or methodologies that could address it. This led me to the field of evaluation research. In this body of literature, I searched for existing ways to assess the endogeny of an organization’s behaviour. The key to this lies in the ability to measure the extent to which an organization either builds upon what is local to establish stronger communities or favours the practices of the international aid system in the interest of building the organization itself. Once this has been done, the changes needed to address this gap can be carried out. It is for this reason that this chapter comes to a close with an examination of the relevant body of literature on

evaluation research and more broadly, as explained below, the literature on the changing needs of evaluation in philanthropy.

2.6 Evaluation research

This section focuses on what the literature offers on measuring endogeneity from the perspective of organizational behaviour. The analysis reveals that such a method does not exist. It was this lack or gap that provided a rationale for this study – including the development of the HG and the use of an OD lens. Here I also review a new body of literature on the future needs of evaluation in philanthropy. I do so in order to foreshadow a discussion in Chapter 8 that argues that the HG does indeed align with the anticipated needs of what the Futures Strategy Group (FSG) calls “next generation evaluation” (Gopalakrishnan, Preskill & Shijie, 2013:2). It demonstrates the application of key features of the anticipated trends and, in so doing, contributes to advancing the field of evaluation in philanthropy more broadly.

2.6.1 Instrumentation

This section explores the literature on instruments that are relevant to the measurement of endogeneity. I conducted a search of a subject index and table of contents of authoritative sources and consulted an encyclopaedia for mention of endogenous development and the measurement of endogeneity and endogeneity. The sources reviewed included Bamberger et al. (2006), Earle (2004), Rossi & Freeman (1989), Patton (1997; 2002; 2010), Posavac & Carey (1997), United Nations Development Programme (UNDP) (2013), and the *Encyclopaedia of Evaluation* (2005). While not exhaustive, the search was deliberate. Of these, Rossi and Patton are leading authorities on evaluation, while the Encyclopaedia of Evaluation has a wide coverage of professional procedures, ideas and methods. Nevertheless, the search revealed no established way to assess the extent to which an individual organization builds on the local in its development model or strategy. Nor did examining the work of the International NGO Training and Research Centre (INTRAC) reap results. Nowhere in their training centre website or their extensive reporting of training events, international conferences or consultancy

services, did the measuring of endogeneity feature²⁹. In short, these searches revealed no way of assessing the extent to which an individual organization builds on the local in its development model or strategy.

Indeed, the only effort to measure the endogeneity of an organization's behaviour that I know of is the unsuccessful attempt by the Community Grantmaking and Social Investment (CGSI) programme, mentioned previously³⁰. However, a Google search did surface a number of empirical studies. These suggested that in the measurement of the phenomena of social capital and urban development (both from the perspective of an economic analysis), the issue of endogeneity and culture – relevant to this study since helping systems are culturally informed – presented a challenge. The first study, a World Bank working paper responsible for an *Integrated Questionnaire for the Measurement of Social Capital (SC-IQ)* (Grootaert et al., 2004:vii), holds that solutions to the endogeneity problem in the field of social capital is the use of econometric instruments that rely on empirical testing. However, they note that few studies have actually had success with this approach. The second study, from the field of geography (specifically urban development), considers regional economic performance and argues that the role of culture and endogeneity require further consideration: “The measurement of culture and endogeneity problems each need greater attention in future research from a theoretical, empirical and methodological point of view” (Bakens & Nijkamp, 2012:390). In short, these studies, while not taking an organizational perspective, as the present study does, do underscore the challenges of measuring endogeneity and of finding good tools and instruments. This sentiment reinforces the point that there is a methodological gap to fill.

For the purpose of this study, the apparent dearth of methodological advance signals that there is, in fact, a gap that needs to be filled. In combination with the aspiration-practice gap argument made above, the absence of effective measures of endogeneity invites and justifies the development and testing in this study of a way to assess the horizontality of a CPO.

²⁹ See INTRAC M&E Updates. Available: <http://www.intrac.org>.

³⁰ See Chapter 1, Section 1.2, Background and approach.

2.6.2 Evaluation in philanthropy

This section presents the literature on why and how the field of evaluation in philanthropy is changing and the implications this holds for the future needs of the sector. The studies making up this small body of literature are primarily from the US. Furthermore, they represent the perspective of large and influential foundations that work internationally (primarily the Rockefeller Foundation, the Ford Foundation, the William and Flora Hewlett Foundation, the Bill and Melinda Gates Foundation, as well as the J.W. McConnell Family Foundation) and are largely compiled and analysed by think-tank organizations to envision the future needs of the philanthropy sector. The latter include FSG³¹ (Gopalakrishnan, Preskill & Shijie, 2013; Kramer et al., 2007 and the Monitor Institute³² (Kasper, Marcoux & Ausinheiler, 2014).

While these suggest that evaluation is changing, the question remains: Is this experience relevant? Can it be transferred to the case of South Africa and to community philanthropy? This possibility is difficult to predict. There is no confirmatory or counterpoint narrative for community philanthropy in southern or developing countries. However, a vision of the role of philanthropy in the US would offer an orienting framework against which the methodological contribution of the HG to the field could be understood. This would offer a consideration of value, one that went beyond providing an instrument to measure endogeneity to considering its contribution to the field more broadly. I come back to this point in Chapter 8. This section describes the challenges found in the operational environment for evaluation, new trends in evaluation that are predicated, including three game changers.

Notable think-tank studies on the future needs of evaluation in philanthropy, namely those authored by Kasper, Marcoux and Ausinheiler (2014), Kramer et al. (2007), and Gopalakrishnan, Preskill and Shijie (2013), argue that philanthropy has faced many challenges in the last decade and that, in response, evaluation needs to change. Together, they note four shifts in the operational environment. Social needs have

³¹ A consulting company focused on strategy, evaluation and research. Available: <http://www.fsg.org>. [2015, October 18]

³² The Monitor Institute is part of the Deloitte Group. It engages in research and innovation, including the development of practical tools, to find solutions to significant social problems. Available: <http://monitorinstitute.com>. [2015, October 18]

increased because of the global economic crisis, yet at the same time the quantum of resources available to resolve these problems at the level of vulnerable people and communities has decreased. Secondly, resources on the ground are on the decline, yet the focus on innovative ways to solve social problems has increased. Furthermore, these new ideas attract new resources. Thirdly, new ideas have led foundations to innovate through collaborative problem solving. Finally, improvements in technology and more data upon which to draw enhance the sector's ability to understand and redress social problems. The result is pressure to change methods of evaluation in order to accommodate these challenges.

Gopalakrishnan, Preskill and Shijie (2013) consider the nature of this response and its key characteristics. Innovation in the face of complex problems and situations demands evaluation that will be able to capture learning. It is argued that foundations need to experiment and that new ways of working must be captured and their lessons for the sector drawn out. Such innovation would result in more interaction among and between foundations. Sharing information would allow foundations both individually and collectively to exploit the lessons learned in new ways and to establish new norms. This proposed shift in practice places different demands on evaluation systems, which will need, for example, to generate data that is comparable and goes beyond an individual grant or project. A further driver of change is the widespread availability of digital technology. This includes cell phones and social media. The result is more data of different types and forms that can be used to comprehend and solve problems.

Three studies (Gopalakrishnan, Preskill & Shijie et al., 2013; Kramer et al., 2007; Mayer, 2010) argue that these imperatives for change will result in a new evaluation trend: movement away from accountability at the individual project or grant level, focused on results and the efficient use of resources, toward a focus on learning that informs action for self-correction. Learning here is at organizational and sector-wide levels. The key realization is that measurement of impact at the grant level does not capture the totality of the projects seen collectively. The suggestion is that foundations become more concerned with large social issues (for example, gender empowerment, social justice and the environment) and the systemic changes needed to resolve them. The gaze should no longer be backward to the past but forward-looking and concerned

with what information can reveal about action and the self-correction needed for improvement (Kramer et al., 2007). One foundation leader³³ (Jordan, 2010) argues that attention moves from a supply-side focus on the grant input to a more inclusive consideration of demand and an appreciation of the context in which inputs are made.

The Gopalakrishnan, Preskill and Shijie (2013) study, with its focus on the behaviour of foundation leaders in the US, offers a new discourse in evaluation based on six characteristics. The first of these is a *systems, not a project focus*, with evaluation carried out at the programme or strategy level, rather than project or grant level. As such, it can encompass the sum of the parts that make up philanthropy. The implication is that short-term thinking, compressed time-frames and interest in an immediate impact give way to the longer-term issues of systemic shifts in society, enduring change and sustainability. The second is that *the timing of evaluation is not fixed but fluid*. Fixed plans and cycles of evaluation, often linked to formal and annual reports, give way to different types of reporting formats. These could be undocumented and occur within in shorter time frames, on an as-and-when-needed basis. They generate more immediate information and feedback on an issue or performance. The third characteristic is that *data collection formats use digital technology*. Standard approaches to evaluation, based for example on the use of survey data and key informant or focus group interviews, are complemented and/or replaced with data collection using cell phone technology and social media. The fourth characteristic, that *foundations are learning together and collaboratively*, represents a shift from learning about a grant or project at an individual organizational level towards the greater impact of intra-organizational learning about goals and development strategies. There is an obligation on like-minded organizations to collect data, share and learn. The fifth characteristic is that *data is presented visually*. The convention of written evaluation reports is no longer considered the best way to unpack and enhance the understanding of complex social problems. Other formats, including but not limited to infographic and mapping, are used. The final characteristic of this new discourse in evaluation is that *evaluation is in many hands*. Evaluation no longer rests with an external evaluator. Tools for data collection are in the hands of

³³ The Bernard Van Leer Foundation in the Netherlands.

community members, staff of organizations, as well as the network's organizations. More techniques are used, more voices heard and more perspectives tapped into.

This same study by Gopalakrishnan, Preskill and Shijie, highlights three “game changers” (2013:8). The first, “*developmental evaluation*” focuses on a “real-time, learning-oriented, feedback-based, and insight-driven approach to program design and early implement of a program or initiative” (2013:8). The movement here is away from linear logic models and fixed time planning and evaluation. The second, “*shared measurement*” (2013:8), sees organizations as collectively deciding what outcomes and indicators they want to use for deep levels of inquiry related to programmes and strategies. Data is collected according to this framework and shared for joint learning. This shift offers a group of organizations or a sector the chance to build common understandings and greater alignment in what they do. The third game changer is “*big data*” (2013:8). This acknowledges that digital technology has proliferated in terms of the amount, types and speed at which organizations get data. While more data is generated, the time cycles involved have decreased. Thus a great deal of data in different forms is coming at organizations all the time and often in formats to which they can respond immediately.

The above literature on evaluation in philanthropy reflects the shifting needs of the field. Predictions are that the field will increasingly be shaped by real-time assessment for on-the-spot learning that has applications for problem solving, collective assessments where organizations together take a hard look at key strategies and the issues affecting them, and the use of more and varied types of data that are quickly captured and assessed. The question that needs to be considered is: To what extent does the HG align with the sector's anticipated need and trends? Reflecting on this, as I do in the final chapter, would shed light on the broader contribution of this study to evaluation in philanthropy.

2.7/...

2.7 Summary

The above analysis and linkage of three bodies of literature – on endogenous development, community philanthropy and the measurement of endogeny – releases a cascade of problems. Endogenous development is difficult to implement, despite the longstanding commitment to it in principle. The literature shows that international aid systems favour exogenous development. As a result, the anticipated benefits of the endogenous, namely changes and outcomes that will endure because of their grounding in what exists locally, are compromised. The above discussion shows how this problem plays out in the field of community philanthropy. Specifically there is an aspiration-practice gap. In this instance community philanthropy purports to do one thing (focus on the local context and community building) while – more often than not – paying significant attention to what is exogenous and part of the external international aid context, with a focus on institutional strengthening. The problem continues as organizations and/or their donors have limited resources for actual self-correction and improvement, to the extent that no instrument to measure endogeny in respect to organizational behaviour exists. There is a clear need to develop and test such an instrument and to make a methodological contribution to evaluation research and, ultimately, if the findings are applied, to the improved practice of community philanthropy. Development, testing and validation of such an instrument are the primary concern of this study, to which attention now turns in Chapter 3, with an introductory overview of the HG.

Chapter 3

OVERVIEW OF THE HORIZONTALITY GAUGE (HG)

3.1 Introduction

In this chapter I outline the structure of the Horizontality Gauge (HG). I explain its workings and give examples of the component parts and processes of the instrument, developed specifically to allow a community philanthropy organization (CPO) to self-assess the directionality of its behaviour. Introducing the HG in its entirety at this point lays a foundation for a more detailed dismantling, explanation and critical reflection in subsequent chapters.

Organizations are living entities. They are dynamic rather than static and their behaviour is a composite of various actions. Assessing how an organization acts is therefore not an exact science. Its orientation in a vertical or horizontal direction is hard to pin down with precision. Instead, an approach is needed that will help people to estimate (that is gauge), an organization's behaviour as an indication of its general direction or leaning. For the purpose of this study, gauging an effort means to: "to size it up, sift through the evidence, get people's judgements, compare notes and reckon where we've made progress and where we still need to push" (Mayer, 2010:3). It is because of this need that I found mixed methods more suitable than a single method approach. This chapter looks at the *what* and *how* of the HG. Specifically, the instrument is a combination of structured and semi structured questions. It allows members of an organization to carry out a self-reflective enquiry into and an assessment of the organization's behaviour. It offers real-time processing and learning. Working with a group of up to ten members, the process of data collection, score compilation, visual representation for feedback to members and their interpretation can be completed within a three- to four-hour period. The results are compiled immediately, fed back to and interpreted by members as part of the administration process.

The remainder of this chapter is given to describing and illustrating with examples the core parts and processes that make up the HG. This exposition is, essentially, a summary of the conceptual underpinning and participatory research process covered in more detail later³⁴. A copy of the questionnaire that contains the structured questions informing Likert scale scores is found in Appendix 1.

3.2 Theoretical frame

The HG incorporates the analytical categories of the philanthropy of community (PoC) and the elements of organizational behaviour. What these are and how they are combined to inform the 5 x 4 matrix that generated the 20 questions found in the HG are detailed later³⁵. For the purposes of the present overview, however, these analytical categories are summarized below.

3.2.1 A summary of PoC theory

PoC theory is concerned with the indigenous helping systems that are practised by people in poor communities in southern Africa. I developed this theory in collaboration with colleagues using a grounded theory inquiry, carried out at the University of Cape Town.³⁶ It emerged from the previously mentioned four-country inquiry, followed by an action research project (Wilkinson-Maposa et al., 2005; Wilkinson-Maposa & Fowler, 2009).

On the basis of the responses from informants, I defined help in the context of poverty as: “The giving and/or receiving of something to satisfy or alleviate a need, a problem, a difficulty, sense of deprivation or lack of something, be it a tangible good/asset or ability” (Wilkinson-Maposa et al., 2005:36). “Helping” is framed by a number of key features. It (i) is part of “how things are done”, assisting people to survive and come together, (ii) is guided by the norm that, “if you have, you must give, no matter how little”, (iii) rewards the giver in its own ways (people feel good through helping others or, in turn, by being helped by others), (iv) is free from stigma (to ask is not considered

³⁴ In Chapters 5 and 6 respectively.

³⁵ See Chapter 6.

³⁶ The Building Community Philanthropy (BCP) project, executed at the Graduate School of Business, as alluded to in the Preface, describing my previous research involvement in the field of community philanthropy.

inappropriate or embarrassing), and (v) most of the time has a positive effect, leaving people feeling good (Wilkinson-Maposa et al., 2005:36).

The reasons why people offer help can vary. Motives can range from meeting a need, to fulfilling what is expected of you, to doing something that feels good or is simply the right thing to do. The adage “help those who help you” reflects a dominant belief and practice and reinforces the idea that the helping system is underpinned by “reciprocity” and “mutual aid” (Wilkinson-Maposa et al., 2005:53). Central to this traditional helping system is the value people place on the act of assisting one another.

Analysis reveals five dimensions or quintessential features of the way the poor mobilize resources and move them to where they are most needed. Introduced below and expanded upon elsewhere³⁷, these are “needs and networks”, “range of capital transactions”, “maintaining and moving”, “norms and conventions of decision making” and the philosophy of communalism³⁸ (Wilkinson-Maposa & Fowler, 2009:20).

Needs and networks refers to the idea that the nature of your need will determine to whom you turn to for help. For example, if your need is for school fees, you would probably go to a family member or relative. If you needed to repair the thatch on your hut, you would typically turn to a neighbour for assistance. The inference is that the poor have a diverse network into which they can tap for assistance. *Range of capital transactions* captures the notion that the poor can draw on a wide range of resources to help each other. There is no favoured input or way to assist. Resources can be material or non-material and are often used in combination. Material resources could include, for example, money, clothes or food, while non-material could mean emotional support, sharing ideas or even prayer. The specific need and what you have in hand influence the way your resources are used or combined. *Maintaining and moving* refers to the idea that helping one another could prevent a group from becoming worse off, slipping deeper into poverty or hardship. This is often referred to as a “survivalist response”. It could also mean helping a person or group of people to improve their situation (that is, through development). *Norms and conventions of decision making* refers to a widely held set of practices through which help is mobilized. While they are established social

³⁷ See Chapter 5.

³⁸ Originally called the philosophy of collective self. (Wilkinson-Maposa & Fowler, 2009:23)

norms and expectations, these are not formalized in the sense of being written down. Help of this kind is a social agreement, rather than a legal or contractual one. Finally, *philosophy of communalism* sees people not as individuals living alone or in isolation, but as part of a public or collective consciousness. The notion of the greater good – a benefit beyond the individual – is relevant here, as people behave in the interest of the wider community or a group to which they belong and to which they can turn for support (Wilkinson-Maposa & Fowler, 2009).

The five dimensions of PoC were combined with four elements of an organization for the purpose of the HG. An explanation of the rationale for this and its process is detailed elsewhere³⁹. Attention now turns to the four behavioural elements.

3.2.2 A summary of organizational behaviour elements

Organizational behaviour, which is what people and groups do in an organizational setting, can be broken down and analysed in different ways. For this study, I used the four elements of an organization offered by Porras and Hoffers (1986). As part of the conceptual base, these informed the structure of the questionnaire and its contents.

The four elements draw attention to the fundamentals of an organization. They are “organizing arrangements”, “social factors”, “technical know-how” and “physical setting” (1986:479). In basic terms, *organizing arrangements* include the structures and systems put in place to manage an organization. They are formally defined and include administrative and payment systems, policy and procedures such as the management of costs and information. *Social factors* refer to the culture of the organization. In the spotlight here are social processes. They include the values of the organization, how decisions are made, and how members of staff relate to both one another internally and to external stakeholders. *Technical know-how* refers to the inputs that an organization mobilizes and uses to achieve a desired result (the “tools of the trade”). These could, for example, include financial grants or capacity building interventions such as training materials or a mentorship programme to assist a group in the community to carry out initiatives. It could also include the skills and expertise of the members of staff themselves. The fourth element is *physical setting*. This refers to the location of the

³⁹ See Chapter 6.

organization, as well as its look and feel for both staff and external stakeholders, taking into account factors such as its size, accessibility and environment (Porras & Hoffer, 1986).

The above summary of the five dimensions of PoC and the four elements of an organization serves to introduce the conceptual overview of the HG.

3.3 Overview of the HG

The HG comprises two parts. The first part involves an individual questionnaire that uses mixed methods. The researcher administers this in situ at the organization and collects the primary data. The second part is qualitative. It comprises a member check, a verification and interpretation procedure, referred to by Bryman as “respondent validation” (2008b:698). The researcher hands back the data to the people who have completed the questionnaire to interpret the scores that it has produced. Between these two parts the researcher compiles and reduces the data, then creates a visual representation – the arc. The remainder of this section details how the HG works, using extracts from the questionnaire and sample cases. A copy of a blank questionnaire, as mentioned previously, is in Appendix 1. A completed example of the compilation questionnaire, which contains the composite data from each individual questionnaire, is in Appendix 2.

3.3.1 The questionnaire

The questionnaire is a pen-and-paper exercise that takes between 60 and 90 minutes for members of a CPO to complete. During this time the researcher is in attendance, both to observe and to address any queries respondents may have. They are asked 20 closed-ended questions about how their organization behaves towards a group or local organization it supports (that is, the grantee partner) and/or the community being served. This is the quantitative part of the questionnaire.

The questions focus on whether the behaviour reviewed is “more like this or more like that”. A written instruction asks respondents to score where they think the organization is located between these extremes. This is done on a Likert scale that presents two extremes and points in between. They are also asked to reflect further on the question by

writing down an example of behaviour that they feel substantiates their chosen score. This is the qualitative part of the questionnaire.

The scores on the scale range from A to E: A and B lean towards the vertical (the exogenous), C is a mid-point, while D and E favour the horizontal (the endogenous). Using Question 1.1 as an example, Figure 3.1 below illustrates how all 20 of the questions are structured and phrased.

Figure 3.1 Example of question structure and phrasing

Question 1.1

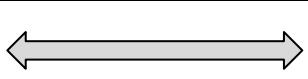
To what extent does your organization support grantee partners/communities that:

are like us – closely mirroring our own programmes, priorities and favoured way of working

OR

are themselves – clearly expressing their own focus, priorities and ways of working.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Are like us	A	B	C	D	E	Are themselves	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate it with an example.

It is important to note, as illustrated in Appendix 1, that the twenty questions are grouped into four sections. They were intentionally structured this way to allow for an interrogation of the four elements of an organization.

In addition, for each section, the respondent is asked to answer five questions. These correspond with the five dimensions of a PoC. In short, each of the four elements of an organization's behaviour is quizzed five times using the dimensions of PoC. Figure 3.2 illustrates this arrangement. To do so, it draws on Section 2 of the questionnaire, that is, social factors. Thus in the questionnaire each behaviour dimension is first described, to focus the respondents on the topic being addressed, and is then structured to enable them to interrogate it in five ways.

Figure 3.2 Organization and structure of the individual questionnaire

SECTION 2: SOCIAL FACTORS

This section focuses on the human side of the organization. It asks you to think about the informal social systems that make up the organization's culture.

It includes the 1) values, norms and rituals that your organization holds; 2) informal networks of communication; 3) leadership, decision making and learning; 4) interpersonal, group and inter-group processes, and finally 5) attitudes, beliefs and behavioural skills.

Question 2.1

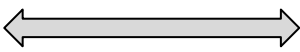
To what extent does your organization support grantee partners/communities that:

have capacity: i.e. demonstrate the ability to implement projects and activities

OR

are worthy: i.e. have a legitimate need or opportunity that should be supported

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Have capacity	A	B	C	D	E	Are worthy	X


Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate it with an example.

Question 2.2

To what extent do your organization's interactions with grantee partners/communities focus on:

- determining whether you can help them or not
- OR
- determining who else can address their needs linking them up for support (i.e. referrals).

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Help or not	A	B	C	D	E	Referrals	X


Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate it with an example.

Question 2.3

To what extent do the conversations and questions between your organization and the grantee partner/community:

- concentrate on economic advancement
- OR
- concentrate on social cohesion, solidarity and inclusiveness

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Economic development	A	B	C	D	E	Social cohesion	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate it with an example.

Question 2.4


To what extent is the way your organization engages with the grantee partner/community based on:

- accountability – making the partner account to you for what they do with the grant support against what was planned

OR

- trust and two-way feedback about what is working and what in the grant needs to shift in response to changes in the situation or needs on the ground.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Accountability	A	B	C	D	E	Two-way feedback	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate it with an example.

Question 2.5

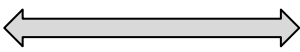
To what extent does your organization’s engagement with the grantee partner/community:

- rely on the roles, skills and energies of a capable individual or leader

OR

- rely on the roles, energy and aspirations of people pulling together.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Capable individual	A	B	C	D	E	Group energy	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate it with an example.

Now that the structure and coverage of the questionnaire have been introduced, the bridging process that links part one and part two of the HG, referred to above, is elaborated to show how the quantitative scores from the Likert scales in the questionnaires are compiled and combined.

3.3.2 Score compilation

When the respondents have finished their questionnaires, they hand them to the researcher who checks them for completeness. The researcher then combines and reduces the scores from all the individual questionnaires to come up with a composite organizational-level score. It is important to make sure that all twenty questions have been assigned a score on the Likert scale and that each is accompanied by an illustrative example. If not, the questionnaire is returned and the respondent is requested to fill in the gaps. When all questionnaires have been completed, the researcher transfers the quantitative scores from the individual questionnaires onto a tally sheet. Depending on

the number of respondents and the time it takes to complete the questionnaire, this process takes approximately 30 to 45 minutes.

The tally sheet, shown below in Figure 3.3, lays out a structure or format that allows the researcher readily to document and add together the total number of A, B, C, D, and E or X scores generated for all twenty questions. As shown in the figure, this information is broken down into the five questions corresponding with each of the four behaviour elements represented as Questions 1.1 to 1.5 and 2.1 to 2.5, etc. This structure, as demonstrated by the sample case, makes it possible to generate a subtotal of scores for each behavioural element, as well as a total score that considers all four elements.

Figure 3.3/...

Figure 3.3 Example of a completed tally sheet – Distribution of scores by behaviour element – Sub-questions

Behaviour element	Q#	A	B	C	D	E	TOTAL RESPONDENTS
Organizing arrangements	1.1	0	0	3	1	0	4
	1.2	0	0	0	2	2	4
	1.3	2	0	2	0	0	4
	1.4	0	1	2	1	0	4
	1.5	0	0	1	2	1	4
Sub-Total		2	1	8	6	3	20
Social factors	2.1	0	0	1	1	2	4
	2.2	0	0	3	1	0	4
	2.3	0	0	0	3	1	4
	2.4	0	0	0	1	3	4
	2.5	1	0	1	1	1	4
Sub-Total		1	0	5	7	7	20
Technical know-how	3.1	0	0	1	0	3	4
	3.2	0	0	0	1	3	4
	3.3	0	1	2	1	0	4
	3.4	0	0	0	2	2	4
	3.5	0	0	0	1	3	4
Sub-Total		0	1	3	5	11	20
Physical setting	4.1	0	1	0	1	2	4
	4.2	1	1	1	0	1	4
	4.3	0	0	0	1	3	4
	4.4	0	0	0	2	2	4
	4.5	0	0	0	2	2	4
Sub-Total		1	2	1	6	10	20
TOTAL		4	4	17	24	31	80⁴⁰

⁴⁰ Four people participated and answered the 20 questions. Accordingly, there is a total of 20 responses to each section and 80 for the completed questionnaire.

Once the scores are totalled for each behavioural element, the information can be transferred and captured visually on a device called a behaviour arc. Before detailing the arc it must be noted that after the questionnaire has been administered, the researcher compiles all respondent data – inclusive of the scores and illustrative examples – onto a compilation sheet. An example of this is found in Appendix 2.

3.3.3 The behaviour arc

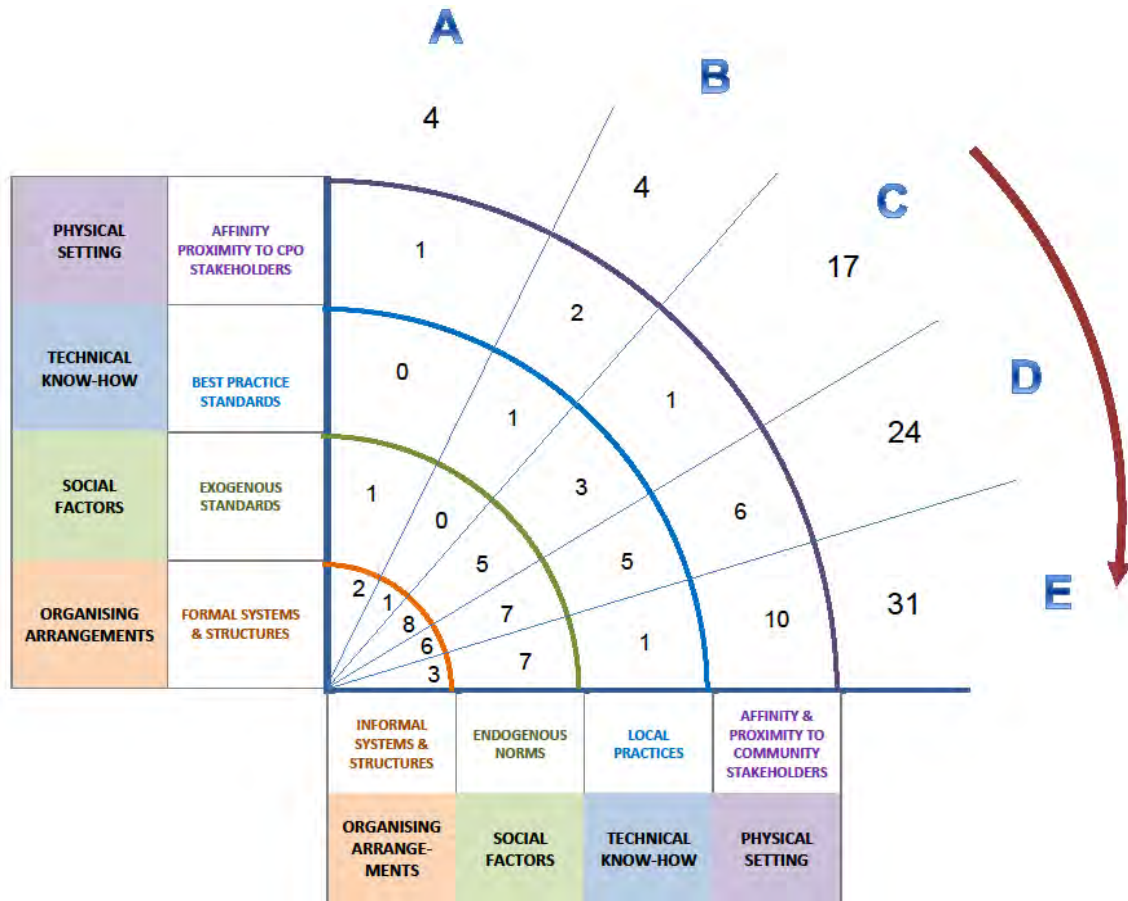
The table in Figure 3.3 captures the scores for each behavioural element and assigns them to spectrums A to E to establish directionality. They are then transferred to the behaviour arc to show visually whether the scores favour the vertical or horizontal.

To illustrate, Figure 3.3 above showed that, for the physical setting, the behaviour of the CPO in this case was largely horizontal (that is, favoured what the community was used to), as the highest scores awarded, 6 and 10, were in segments D and E, close to the horizontal axis (see subtotal). The use of horizontal and vertical segments (i.e. A to E, representing horizontality and verticality) also allowed numeric scores across all four elements to be totalled up for an overall impression of behaviour. The figure below reveals (see line showing the total) that overall the organization leans slightly toward the horizontal. The total score in A and B is 4, representing the vertical. The score in C is 17, while the scores in D and E, the horizontal orientation, are 24 and 31 respectively.

To represent this organization visually around a vertical and horizontal axis, the completed behaviour arc is shown in Figure 3.4 below. There are four separate arcs going from the left (the vertical axis) to the right (horizontal axis). As indicated by the labels, these arcs correspond with the four elements of an organization around which the individual questionnaire is organized. The second feature of the arc is the five segments marked A, B, C, D and E, corresponding with the five alpha points on the Likert Scale in the questionnaire. The A segment is closer to the vertical axis and the E segment to the horizontal axis. This indicates the trend in a CPO's behaviour. The arc demonstrates that an A aligns with verticality and an E with horizontality – and that B, C and D are the points in the range between these two extremes. Thus it possible to write onto the arc the total scores for each sphere. The calculation made in the tally sheet determines the total number of A, B, C, D and E scores assigned, and plotting on the arc records

their distribution visually, making their orientation in a vertical or horizontal direction more apparent.

Figure 3.4 Example of a completed behaviour arc



As demonstrated in the above figure, the behaviour arc when completed is a neat and efficient way to capture and present the organization-level scores. Furthermore, as demonstrated by the arrow for this particular case, there is a horizontal pull. The scores allocated increase when moving from the C to E spheres. As indicated earlier, this information is fed back to the respondents in part two of the HG.

3.3.4/...

3.3.4 Member check

Part two of the HG is qualitative. It convenes the respondents for a group discussion that takes up to one hour to complete, to interpret the organization-level Likert scale scores. The researcher places the completed arc on the wall so everyone can see the results of the quantitative scores. A facilitated discussion follows based on three open-ended qualitative questions, inviting the members to reflect on and interpret the quantitative scores specifically and the HG instrument and process more broadly. The questions are the following:

1. What does the data on the arc say to you? What is it telling you?
2. (a) Does this snapshot assessment ring true? Is it a true reflection of how your organization behaves in practice?

If the answer is “no”, the researcher probes into the reasons for this response. If the answer is “yes”, the researcher asks:

(b) Is this the “you” that your organization wants to be? In other words, is this what your organization says it aspires to?

3. In what ways do you think your organization could use this data/information?

During the discussion, I probed the responses and encouraged interaction around each point among and between the respondents. The discussion was audio-recorded and transcribed.

3.4/...

3.4 Summary

The HG has now been set out in its entirety, with an introduction to its two parts and the linking process. The chapter revealed that the HG combines quantitative and qualitative data in a complementary way. The scores presented visually on the arc offer closed-ended measures, while the narrative text in the form of the member check interpretation illuminates the scores with descriptions and explanatory meanings, generating open-ended observations. This mixture allows for a detailed investigation of the directionality of an organization's behaviour.

The remaining chapters of this thesis unpack the HG in detail, discussing all the steps in the research process. They interrogate the concepts that underpin the instrument, the indicators used by it, the data collection process, the scores generated, and finally look at what this information reveals about the validity of the instrument. The next chapter begins this journey by presenting a validation strategy.

Chapter 4

THE VALIDATION STRATEGY

4.1 Introduction

This chapter details the methodological strategy I used to validate the Horizontality Gauge (HG). It complements Chapter 3, showing that the approach to validation is determined by the nature of what is to be validated. Deciding both theoretically and practically how to validate the eventual HG is thus an integral part of the research process. It requires an early appreciation of what is involved in establishing the trustworthiness of the instrument.

I see the validation exercise as a puzzle with the different pieces represented by discrete items of data, offering partial but connected slices of information or insight. Different aspects of the puzzle are examined in Chapters 5, 6 and 7. Each aspect requires its own approach to validation within a coherent framework. Looking across all the pieces, as I do in Chapter 8, then brings together a broader body of evidence for a more complete picture, allowing me to answer the research question.

The validation framework offers a systematic structure and set of procedures against which evidence relating to the criteria for validity is generated. This is presented in the empirical chapters of the study. Furthermore, the validation framework brings the high degree of rigour and structure needed as the basis for a disciplined inquiry. As such, it offers an analysis that exposes the research process to systematic scrutiny. Cronbach and Suppers elaborate on this idea and suggest that⁴¹:

Disciplined inquiry has a quality that distinguishes it from other sources of opinion and belief. The disciplined inquiry is conducted and reported in such a way that the argument can be painstakingly examined. The report does not depend for its appeal on the eloquence of the writer or on any surface plausibility (1969:15).

⁴¹ Of note, Cronbach and Suppers stress that disciplined inquiry is not necessarily a regimented process along the lines of a set process; rather it can be more unpredictable, working with different notions and techniques to see what works.

Punch stresses that: “What is important about disciplined inquiry is that its data, arguments, and reasoning are capable of withstanding careful scrutiny by another member of the scientific community” (2005:246). My decision to conduct a disciplined inquiry was not accidental. It was a deliberate response to the criticism that the social sciences tend to lack the level of rigour found in the physical sciences. My concern was that the concepts and methods of data collection and analysis that generate a particular set of findings are rarely interrogated or exposed for external examination. There is a temptation to make claims about a study on the basis of its findings, without a deeper interrogation of what stands behind and substantiates it (Adcock & Collier, 2001). Adcock and Collier sum up the problem in this way: “Scholars routinely make claims that presuppose the validity of the observations and measurement that operationalise their concept” (2001:529). Attention to validation, which draws on a combination of methods, is intended to mitigate this not insignificant critique of social science research.

Studies such as the present one – which uses both quantitative and qualitative research techniques in what is known as mixed methods research (MMR) – rely on terms, concepts, frameworks and related procedures that have not hitherto been widely considered or fully dealt with (Onwuegbuzie & Johnson, 2006; Dellinger & Leech, 2007; Creswell & Plano Clark, 2007; Onwuegbuzie, Bustamante & Nelson, 2010). Consequently, in developing a validation strategy, I could not simply have relied on established standards or conventions of validation. Instead, a selection had to be made from existing ideas and practices, bringing together the most relevant methodologies for the case in hand.

For the purpose of this study, validity refers to “the believability of a statement or knowledge claim” (Polkinghorne, 2007:4). This definition suggests that validity is a matter of degree rather than of absolutes. It is an estimation⁴², since it is “not about singular truths” (Onwuegbuzie & Johnson, 2006:48). While this relatively loose definition may at first appear imprecise or elusive, it does not imply that anything goes. Rather this approach turns out to be very demanding. It requires sufficient reasons to

⁴² In making the point that validity is an estimation, Polkinghorne draws on Rosch’s consideration of validity as a “prototype concept”, not a “definitional” one (2007:4). Put another way, validity is a concept that is better understood by citing something that belongs to the category, for example, chair as a member of the category furniture, rather than providing a definition, e.g. defining what furniture is.

carry out an assessment, with the emphasis placed on the strength of the evidence and on the use of different judgements, rather than relying simply on the assessment of one particular person or stakeholder group, whether scholars, practitioners or research users (Polkinghorne, 2007). Onwuegbuzie and Johnson stress the same point and sum it up this way: “Research needs to be defensible to the research and practice communities for which research is produced and used” (2006:48).

I begin the chapter by briefly summarizing issues of validation in MMR. In doing so, I introduce the context or starting point used to determine how to assess the HG. Next, the conceptual methods I decided upon are discussed. The specific criteria for the assessment of validity, as well as a five-level framework for validating the research instrument itself, are then presented. From here, I move on to focus on practical methods, with a presentation of the analytical procedures used to execute the validation framework. To wrap up the chapter, a conclusion summarizes my approach to validation in this study.

4.2 Conceptual methods

In all research studies it is important that the methodological strategy fits with the research tradition chosen. In practice, however, validation can be uncertain, both in MMR and specifically in its application to a mixed methods instrument. There is no hard and fast rule. In the absence of standards or established protocols, I faced the challenge of identifying suitable criteria and establishing a framework for validation. While distinct from each other and presented separately, these conceptual methods are interconnected with the validation framework, generating the evidence for assessment of the criteria. Each method is described below and its use justified.

4.2.1 Criteria for validation

In the absence of any agreement on the criteria for validation, I sought to use what was acceptable and regarded as credible by authorities on mixed methods. This pragmatic and practical approach allowed me to benefit from the experience and knowledge of experts in the field. I decided to use criteria that would be acceptable to both the quantitative and qualitative research paradigms, following the recommendation of

Creswell and Plano Clark (2007). Given the use of both quantitative and qualitative forms of data in MMR, they argue that their own approach to validity should not be downplayed. They express this in the following way: “Because researchers collect, analyse, and interpret both forms of data, traditional approaches to validity should not be minimised in mixed methods research” (2007:147). This advice led me to research by Sale and Brazil that sought to “identify criteria to critically appraise the quality of mixed-method studies in the health literature” (2004:351). Their analysis revealed that most criteria used in qualitative and quantitative traditions could be related to Lincoln and Guba’s (1985) criteria of trustworthiness – a composite made up of four related assessments: truth value, applicability, consistency and neutrality (Sale & Brazil, 2004:354) This is feasible because trustworthiness, while emerging from the qualitative tradition, has “cross-paradigm appeal” (2004:354). This can be attributed to the fact, detailed in Table 4.1 below, that the four assessment criteria have an equivalent term in each paradigm and hence can be considered interchangeable.

The first criterion of appraisal, *truth value*, is concerned with the findings and how in the quantitative tradition this equates to internal validity and in qualitative methods to credibility.

The second criterion, *applicability*, refers to the extent to which the findings can be transferred to other research contexts and respondents and still be considered relevant. The equivalents here are external validity and transferability respectively.

The third criterion for appraisal, *consistency*, is concerned with whether carrying out the research in a different context and with different subjects would produce the same results. Reliability would be the term used in quantitative methods and dependability in qualitative methods.

The fourth and final criterion, *neutrality*, probes the extent to which the findings reflect the preference of researchers (influenced by the questions asked and their phrasing) or more genuinely the views and perspectives of those participating in the study. The alternative term used for quantitative studies is replicability and for qualitative ones, conformability.

Table 4.1 Lincoln and Guba’s criteria of trustworthiness and its four component elements

MMR criteria	Quantitative equivalent	Qualitative equivalent
<p>Truth value</p> <p>“Confidence in the ‘truth’ of the findings of a particular inquiry for the subjects (respondents) with which and the context in which the inquiry was carried out”</p>	Internal validity	Credibility
<p>Applicability</p> <p>“the findings of a particular inquiry have applicability in other contexts or with other subjects (respondents)”</p>	External validity/ generalizability	Transferability/ Fittingness
<p>Consistency</p> <p>“the findings of an inquiry would be repeated if the inquiry were replicated with the same (or similar) subjects (respondents) in the same (or similar) contexts”</p>	Reliability	Dependability
<p>Neutrality</p> <p>“the findings of an inquiry are determined by the subjects (respondents) and conditions of the inquiry and not the biases, motivations, interests or perspectives of the inquirer”</p>	Objectivity / replicability	Conformability

(Source: Lincoln & Guba, 1985:290)

4.2.2 Validation framework

As a guide to a transparent disclosure and discussion of the HG, I looked for a suitable structure that could critically present the instrument. I found an effort made by O’Cathain (2010) to take stock of existing validation frameworks in MMR in order come up with a unified framework to be empirically attractive. While her analysis

brought together five foundational offerings and structured them around one core framework, the focus of validation favoured the scores or findings, rather than an assessment of the instrument *per se*.

A further scan of the literature revealed two other relevant contributions. The first framework is the “Instrument Development and Construct Validation Framework (IDCV)” provided by Onwuegbuzie, Bustamante, and Nelson (2010:56). This framework, made up of 10 steps involved in instrument development, guides peer questioning. Here a researcher (external to the study) questions – in essence, debriefs – the one who designed the instrument, for a deeper appreciation of the research process (Onwuegbuzie, Bustamante & Nelson, 2010:56). The second example, called the “Measurement, Validation and Revision Framework”, is offered by Lutz (2012). Similarly, it breaks down the research process into steps. Using one or other of these frameworks would save me starting from scratch, as well allow me to benefit from the thinking and empirical work of others. Potentially my study could then contribute to the field by further testing an existing framework and deepening it through adaptation. Indeed, the notion of digging deeper and building from what was established and empirically tested made sense. As argued by Punch, a primary reason for using an existing instrument is that: “The more an instrument is used in research the more we learn about its properties” (1998:97). I return to this point in Chapter 8 with a consideration of the contribution this study makes to instrument validation.

While similar in its ability to lay out the steps used in constructing an instrument, the framework suggested by Lutz appealed to me for three primary reasons. Firstly, it is a second-generation framework. It expands on Adcock and Collier’s (2001) earlier framework, “Conceptualisation and Measurement: Levels and Tasks”, and is therefore grounded in prior testing. Secondly, the framework has a simple structure. It lays bare the research steps and procedures that go into developing an instrument and, ultimately, the generation of findings. The use of levels and tasks (the structure originally provided by Adcock and Collier, maintained by Lutz, and discussed below) is methodical and comprehensive. Lutz explains it this way: “The strength of this framework [Adcock and Collier’s] is evident in its clear and uncomplicated exposition” (2012:295).

Finally, Lutz's framework is still current and endorsed by other researchers, such as Daigneault and Jacob (2009)⁴³.

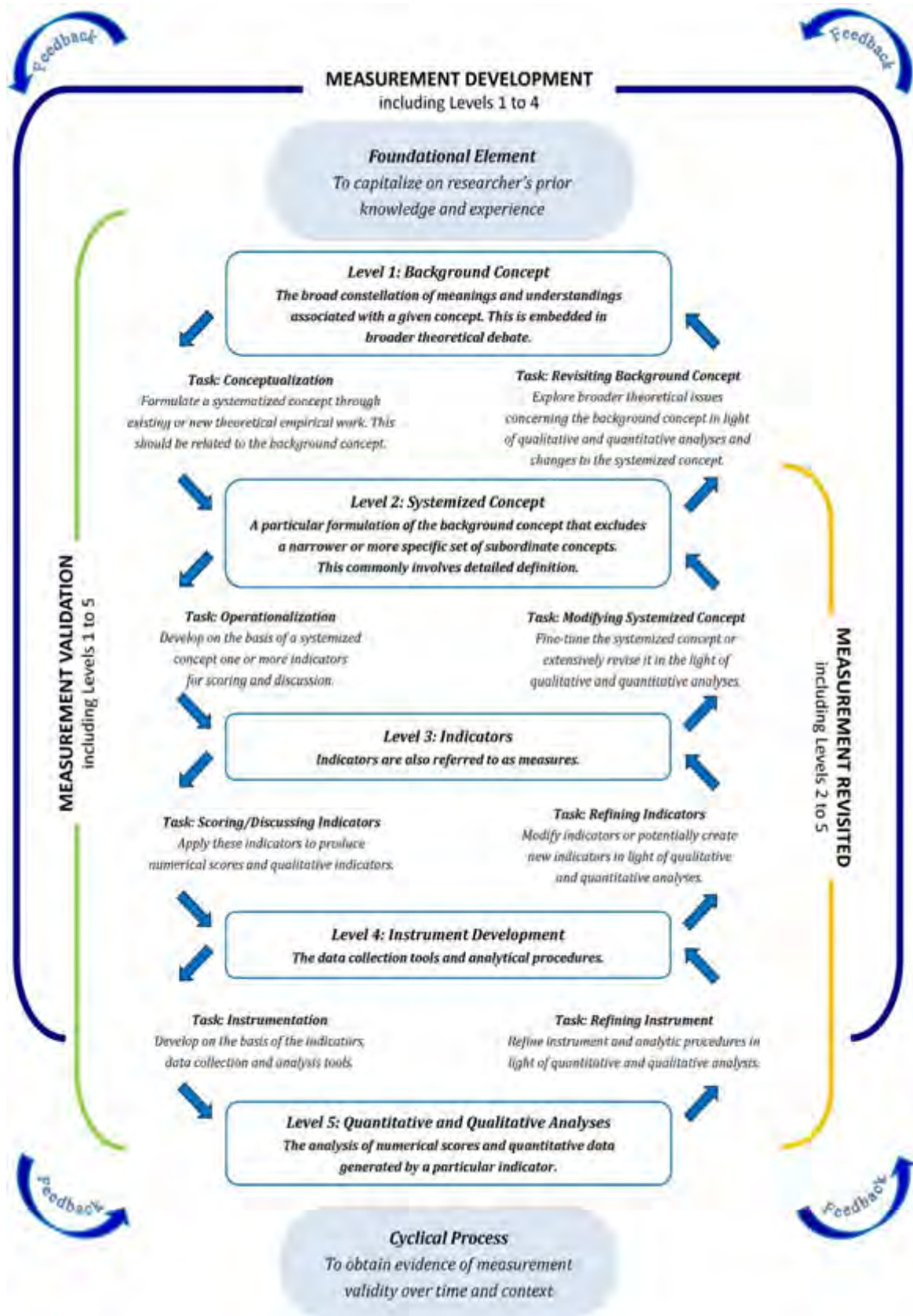
As a result of this logic, I decided to use Lutz's framework, but customized it to the needs of my study. My expanded framework is shown in Figure 4.1 and described further in the remainder of this section. Before going into that level of detail, however, it must be noted that this framework has five key attributes that speak to its credentials as a disciplined inquiry.

The first attribute is that it is *systematic*: as indicated by the arrows, it advances in an incremental way from one level to the next. Secondly, it is *structured*: as shown by clearly marked stages in the research process and the named research procedures, the framework is built around five "levels" and four "tasks". Thirdly, it is *comprehensive*: as clearly indicated by the brackets on the periphery of the framework, it is divided into three distinct research phases: "measurement development", "measurement validation", and "measurement revisions" (Lutz, 2012:297), and identifies the levels belonging to each. The fourth attribute is that it is *cumulative – looking backward*: as evidenced by Level 1, the formative element, the framework, allows the researcher's prior knowledge on the topic to be openly declared and used to inform the instrument. Finally, it is *cumulative – looking forward*: the dark arrows on the exterior of the diagram are a feedback loop that allows for an ongoing process of learning and refinement.

Figure 4.1/...

⁴³ It was used to assess the conclusions drawn from an instrument designed to measure stakeholder participation in evaluation, called the "Participatory Evaluation Measurement Instrument".

Figure 4.1 Framework for validating the instrument



(Source: Adapted from Lutz, 2012)

I now turn to a description of the content of the framework. This foreshadows the empirical Chapters 5 and 6 that interrogate the levels, tasks and themes housed in it.

Levels and tasks:

The framework is made up of five levels or research stages. Each level feeds into an identifiable research task that sets up the next research level. A summary is provided below of each level:

Level 1: “Background concepts” is a reference to the meaning that is given in the theoretical literature to the concept under study (Adcock & Collier, 2001:530; Lutz, 2012:297). The task that leads to or sets up Level 2 is “conceptualization” (Adcock & Collier, 2001:531). This includes the procedures related to thinking about the concept in an abstract and intellectualized way. This phase is shown, as are all subsequent tasks, by the arrow on the left side of the figure.

Level 2: “Systematized concept” is a reference to the specifics, such as the definition and key features of a particular (that is, selected) way of understanding the background concept of the study. Put another way, it captures and details a school of thought on the concept (Adcock & Collier, 2001:530,532; Lutz, 2012:298–299). Level 2 initiates the second task, that of “operationalization” (Lutz, 2012:299). This refers to the procedures involved in the development of indicators. The systematized concept (abstract idea) is turned into discrete items that can be applied for the purpose of assessment (Adcock & Collier, 2001).

Level 3: “Indicators” refers to measures (based on the systematized concept) used to assess the concept being studied (Adcock & Collier, 2001:531; Lutz, 2012:297).

Level 4: Instrument development refers to designing and applying (in field work) the data collection tools. These apply the indicators to collect specific data or information that satisfy them. It sets up the next task, that of analysing the data. This is the procedure involved in understanding and making meaning out of the findings.

Level 5: “Quantitative and qualitative analysis” is a reference to the presentation and analysis of the qualitative and quantitative data (Lutz, 2012; 298). This is what Adcock

and Collier originally called “scores for cases” (2001:531). In this thesis, however, for clarity, I make a distinction between the two types of data. I use the term score when I talk about the Likert scale data and evidence when I refer to qualitative data.

Having described the core content and structure of the validation framework, I now turn to look at the three phases that the levels and tasks belong to.

Research phases

The three brackets on the periphery of Figure 4.1 group the above levels into research phases. Levels 1 to 4 contribute to the part of the research that figures out what to assess – i.e. measurement development. Levels 1 to 5, all the levels in fact, play a role in validating measurement – that is, in assessing the quality of the results of the study. Finally, Levels 2 to 5 are used to inform any revision of the background concept that is required. While these phases surround the validation framework, two themes run through the research levels, those of the “foundational element” (Dellinger & Leech, 2007:323) and the “cyclical process” (Lutz, 2012:298).

Foundational element and cyclical process

“Foundational element”, a term adopted from the “Validation Framework: Elements of Construct Validation” offered by Dellinger and Leech (2007), refers to the background knowledge and experience the researcher brings to the topic under study. It sits at the top of Figure 4.1 and flanks the framework. It includes theoretical understanding and past experience, factors that reflect how the researcher perceives and approaches the topic and that, in turn, influence the data collected, and how the issue is understood. The foundational element implies that a researcher does not come to a study empty handed (as a *tabula rasa*), but rather that he/she brings to it previous ideas, perspectives and knowledge. According to Beach, Becker & Kennedy (2006), quoted in Dellinger and Leech, the issue “is not one of how to put aside prior knowledge but rather one of how to capitalise on prior knowledge and use it to extract as much *new knowledge* as possible from the findings” (2007:323).

Similarly, cyclical process sits at the bottom end of the figure and borders the flows of all levels and related tasks (down the right-hand side of the figure), collecting and

making sense of what the evidence generated by each collectively says about the results of the study. This process seeks to draw out any implication it may have for refinement of the background concept and is represented by the arrows on the right-hand side of the figure, starting with Level 5 and going upward to Level 1. This feedback loop is a key enhancement that Lutz (2012:298) made to the original Adcock and Collier framework. Lutz concretized and visualized the cumulative impact of the levels and tasks, capturing it as a cyclical process or feedback loop through which interaction could result in changes to the systematized concept (i.e. the starting point). He emphasized the idea that what is learned from the measurement validation process could actually result in a change to the systematized concept refining it. Adcock and Collier term this a “friendly amendment” – small but not drastic changes to the systematized concept: “These amendments are friendly because they do not fundamentally challenge a systematized concept but instead push analysts to capture more adequately ideas contained within it” (2001:533).

As noted above and made explicit in the source reference for Figure 4.1, the instrument validation framework applied in this study is derived from Lutz (2012). However, I expanded it in two ways, by adding Level 4, instrument development, and the related process of instrumentation, and by including foundational element. Both were added in response to the context of my study. Making a provision for prior knowledge and experience was a reaction to my insider status in the community philanthropy world. Decisions related to conceptualization and instrument design were undeniably influenced by this.⁴⁴

In addition, including instrument development as an explicit research stage gave a nod to the key task of this study, which was to develop an instrument to gauge horizontality. It made explicit the importance of the research and instrument design in substantiating the procedures and decisions that take place between the indicator and analysis levels (3 and 5 respectively). Having personally engaged in the rigorous process of instrument development for this study, I realized that it was not enough simply to interrogate the indicators and the scores they produced. Indeed, what sits between them – that is, the mechanisms of research design, techniques and sampling frame used to move from a

⁴⁴ This is further noted and detailed in Chapter 6.

“measure” to a “measurement” – is a reasoned process that warrants analysis. This conviction is supported by the framework of Onwuegbuzie, Bustamante, and Nelson (2010), and draws on three of their 10 stages of research in instrument development.⁴⁵

Having set out and illuminated the two conceptual methods of the study, I now describe and explain the practical methods used to put the validation framework into operation.

4.3 Procedural check list

To put each level of the validation framework into operation, I needed a set of analytical procedures. I reviewed the literature on methodology to identify practical and suitable techniques and processes. I then compiled these into a check list of practical methods. This gave me a concise way of capturing and summarizing the analytic methods used in the study consistent with pursuing a disciplined inquiry.

The procedures I used to interrogate the five levels and the two cross-cutting issues are captured in Table 4.2. This specifies the evidence that will be generated as part of the validation process, and describes the analytical technique I used.

Table 4.2 Operational Procedures Check List for Instrument Validation Framework

Level / Cross Cutting Issue	Evidence	Step-by-step analysis
Formative Element	<ul style="list-style-type: none"> ▪ Personal understanding and experiences ▪ Theoretical understanding ▪ Understanding derived from analysis or assessment of research related to the phenomenon being studied 	<ul style="list-style-type: none"> ▪ Demonstration of how prior knowledge was brought to bear and maximised. (Source: Dellinger & Leech, 2007)
Background Concept	<ul style="list-style-type: none"> ▪ Meaning of the broad concept being studied 	<ul style="list-style-type: none"> ▪ Matrix of potential meaning (Source: Adcock & Collier, 2001)

⁴⁵ These stages are Phase 3 – “develop initial instrument”, Phase 4 – “pilot test initial instrument “and Phase 5 – “design and field test the revised instrument” (Onwuegbuzie, Bustamante & Nelson, 2010:64–65).

<p>Systematized Concept</p>	<ul style="list-style-type: none"> ▪ Formulation of the concept used in the study 	<ul style="list-style-type: none"> ▪ Justification of meaning assigned ▪ Definition and substantiation of meaning <p>(Source: Adcock & Collier, 2001)</p>
<p>Indicators</p>	<ul style="list-style-type: none"> ▪ Measures used to explore the phenomenon being studied 	<ul style="list-style-type: none"> ▪ International NGO Training and Research Centre (INTRAC): process for indicator development <p>(Source: Babbie & Mouton, 2008; Simister & Smith, 2010)</p>
<p>Instrument Development</p>	<ul style="list-style-type: none"> ▪ Research design selection ▪ Sampling design ▪ Informant selection ▪ Scale and question development ▪ Pre- and pilot testing and revision 	<ul style="list-style-type: none"> ▪ Name the design using accepted MMR classifications ▪ Justify selection of cases and informant ▪ Explain inclusion of multiple voices ▪ Detail how questions are phrased ▪ Detail how numbers were assigned ▪ Detail pre- and pilot test protocol and results <p>(Source: Leech & Onwuegbuzie, 2009; Teddlie & Yu, 2007; Bryman, 2008a; Bryman, 2008b; Lewis-Beck, Bryman & Liao, 2004)</p>
<p>Quantitative and Qualitative Analysis</p>	<ul style="list-style-type: none"> ▪ Tendency and distribution of quantitative data (scores) ▪ Respondent assurance (confidence) in the quantitative data (scores) based on the qualitative evidence provided by the member check ▪ Respondent perception of utility as found in the member check (qualitative data) ▪ Characterisation of participating community philanthropy organizations (CPOs) 	<ul style="list-style-type: none"> ▪ Describe the distribution of numerical scores on a three-point scale ▪ Count the frequency and then interpret the qualitative text statements as illustrative of high or low confidence in the numerical scores ▪ Tally the number of uses respondents identified for the HG ▪ Analyse case characteristics to demonstrate level of diversity in sample cases
<p>Cyclical Process</p>	<ul style="list-style-type: none"> ▪ Consider what the quantitative scores and qualitative evidence mean for revision of the systematized concept, 	<ul style="list-style-type: none"> ▪ Consider score evidence (quantitative) ▪ Consider respondent interpretation evidence (qualitative) ▪ Consider quantitative scores and qualitative evidence together <p>(Source: Lutz, 2012)</p>

4.4 Summary

This chapter described the methodological strategy for validation used to address the study's research question. It justified and described the use of trustworthiness as a suitable validation criterion for assessing the process of instrument development and the robustness of its outcomes. The method marries replaceable terms in both the qualitative and quantitative paradigms located within a five-level validation framework. This framework will provide the evidence used to answer the research question, taking into account the established criteria. Finally, this chapter specified the practical procedures (the analytical techniques), which will be used.

By introducing both conceptual and practical methods of validation, I demonstrated that their application to HG draws on (i) quantitative and qualitative data, both alone and in combination, (ii) multiple sources of evidence, (iii) multiple sources of judgement⁴⁶ and, finally, (iv) evidence or claims used alone and then in combination for a collective analysis designed to answer the research question.

⁴⁶ The perspectives of respondents, the research community (e.g. established academic practice) and my own experience and observations.

Chapter 5

THE CONCEPTUAL FRAMEWORK

5.1 Introduction

This chapter focuses squarely on the theory of helping systems among the poor in southern Africa that was central to previous studies - the Building Community Philanthropy (BCP) project and the Community Grantmaking and Social Investment (CGSI) programme mentioned previously. Together with other academic colleagues and practitioners, I made a strong conceptual contribution to the development of this theory.

The chapter has four functions. One is to bring forward the body of original work in terms of the concepts and five categories or dimensions associated with philanthropy *of* community (PoC) as an endogenous, horizontal system of mutual assistance. Another is to draw on the extensive discussion of the aid system in Chapter 2, so as to establish counterpart categories of a vertical system – philanthropy *for* community (PfC). A third task is to compare and juxtapose these respective systems using a “philanthropic arc” as a heuristic visual device (Wilkinson-Maposa & Fowler, 2009:41). The fourth task, which is where I begin the discussion in this chapter, is to compare the theoretical underpinning of PoC and another option, the bottom-up approaches to development, as a way to establish why I choose to use the former in this study. In summary, I review the background and systematized concepts that underpin the development of a Horizontality Gauge (HG).⁴⁷

5.2 Theory selection: complementarity and contrast

As deployed in this research, I use horizontality as a label to encapsulate the theories that characterize endogeny. The issue is to determine which sources of theory and practice are most suitable to achieve this.

⁴⁷ Levels 2 and 3 of the validation framework respectively.

This section explains two theories with the potential to offer categories within which the degree of horizontal or vertical direction in the behaviour of a Community Philanthropy Organization (CPO) can be measured. These are bottom-up approaches to development and PoC.

Central to development thinking and practice since the 1980s, the bottom-up option has been a popular concept of directionality and a source of power, akin to a “development from within”⁴⁸ (MacKenzie, 1992:xvi). The second idea, introduced previously⁴⁹, is based on an empirical study in four southern African countries that explored ways in which the poor use their resources for self-help and mutual assistance (Wilkinson-Maposa et al., 2005:xi).

The principle of bottom-up as a vector for social change has an intellectual history going back to Marxist anthropology (Godelier, 1977). Its application to development is often attributed to Paulo Friere, whose approach to socio-political empowerment of poor, usually illiterate, people used generative themes to induce a critical consciousness of power relations, stimulating their resistance to exploitation (Friere, 1974). At the time, these ideas inspired debates about people-centred development and radical alternatives, espoused by many non-governmental organizations (NGOs), to the dominant paradigm of economic lift-off and trickle-down. Recent years have seen this political perspective watered down and translated into technical processes of participation or local ownership of what is often imported from elsewhere and does not seriously challenge the status quo. The notion of a truly alternative paradigm of development lost traction and, with it, the idea of the endogenous as a starting point for interventions (Bebbington, Hickey & Mitlin, 2008).

Today, the bottom-up approach still gives conceptual primacy to the “local” as the focus of action. It stresses communal participation and agency in making decisions relating to external assistance, as I elaborated in the literature review in Chapter 2. Approaches can take the form of co-determining a development strategy or setting priorities for the use of external development resources. The European LEADER Association for Rural

⁴⁸ Development from within sees development as flexible, rather than following a specified set of ideas or policies.

⁴⁹ See Chapter 3.

Development⁵⁰ advocates this method. It argues that participation can include the information, design, planning and implementation stages of development projects; it also sheds light on the importance of building the capacity of the local population that is to benefit from a project. This can be done in a number of ways, including training, raising awareness, taking part in analysis and formulating strategy, as well as in identifying suitable activities or projects aimed at carrying out the strategy (European LEADER Association for Rural Development, n.d.).

In theory at least, external assistance should put the local population in the driving seat for change, albeit in the framework determined by the aid system itself. It is this latter point that makes bottom-up a square peg in the round hole of constraints and behaviours of the aid system, as I detailed in Chapter 2. In 1983, Robert Chambers published *Rural Development: Putting the Last First*. More systematic than many other works in the field, this laid bare the incompatibility between the needs of the people and the institutional imperative for development (Chambers, 1993, 2008, 2012). Chambers argues that it is not that the aid system has not tried to reform; rather, it has failed to shake loose from a way of thinking and working that precludes the adaptation needed to make bottom-up anything but a utilitarian method. It has become increasingly focused on projects, modelling deficits, driving disbursements, and commercial factors.

My conclusion is that there are few grounds to rely on bottom-up theories to inform what is endogenous. Paradoxically, however, the categories of practice associated with bottom-up thinking, tied to top-down behaviour, do help with illustrating and juxtaposing a PoC in terms of comparative (dis)similarities, as undertaken in the next section.

The second concept, PoC, outlined in Chapter 2, describes the relationship of “helping one another” in poor communities (Wilkinson-Maposa & Fowler 2009:8). It is an organic process of self-help and mutual assistance grounded in the “principles of reciprocity and co-operation” (Wilkinson-Maposa & Fowler, 2009:xiii; Wilkinson-Maposa et al., 2005:8). Unlike the bottom-up approach, mobilizing resources here is an

⁵⁰ The organization is an international non-profit organization (NPO) that serves the European Union (EU). Available: http://www.elard.eu/en_GB/the-bottom-up-approach [2013, November 13] and ec.europa.eu/agriculture/rur/leader2/dossier_p/en/dossier/chap4.pd [2013, November 13].

internal process carried out in the community. By exploiting what they have and getting it to where it is needed, community members engage in change that is inspired from within.

While both the bottom-up approach and PoC are concerned with development, there are two marked differences between them. The first has to do with the *relationship to official development assistance*. In a bottom-up approach, external aid is the reference point for participation – that is, the participation of people and communities in aid projects. PoC participation, on the other hand, is defined by the community's own needs and priorities. Thus, PoC exists independently of the international aid system. However, the two can co-exist and work together or in combination. The second difference is in the *attitude toward resources*. PoC sees participation as based on the resources and agency people have to drive their own change processes. In contrast, the bottom-up approach seeks to build people's capacity to participate by drawing on externally inspired development processes.

Unlike the bottom-up approach, which stresses the need to build capacity for participation, PoC draws on an existing capacity for self-help and reciprocity to bring about change. Its starting point is the organic system of mobilizing the resources needed to address needs and problems. This is not to say that PoC does not engage with an external system of aid – it certainly can, as is exemplified in community grantmaking. Herein lies a critical similarity – one that relates to my interest in gauging the verticality or horizontality of a CPO's behaviour. Both bottom-up and PoC can generate a spectrum of observable behaviour, but are inspired by different norms and self-defining dimensions. In PoC, for example, people's decisions to define the rules of the participation game, based on pre-existing tried-and-trusted social conventions, can be juxtaposed with a more top-down approach, in which the external actor sets priorities as well as imposing the rules of engagement. In summary, PoC theory, the ways in which people help themselves organically, can be juxtaposed to PfC, previously alluded to as the favoured way of working held by the aid system.

Having identified PoC as the selected theory based on its own endogeny, I examine this choice and its rationale for use more fully below.

5.3 Philanthropy of community – the theory

One advantage of selecting PoC is that it can provide an assessment of endogenous development on its own terms. While a critical factor, it is not sufficient on its own. I wanted to be confident that this choice was credible to the community philanthropy sector and could be applied to the task of gauging the behaviour of a CPO. To interrogate these concerns I turned to the BCP project and the CGSI programme to see what their experience had shown. The events and evidence described below suggest that PoC theory does in fact reflect reality, is considered useful by scholars, donors and practitioners, and has been previously applied to improve practice. Each of these “credibility” points is substantiated in its origin in grounded theory, in peer reviews, and in its demonstrated application.

5.3.1 Origins in grounded theory

The BCP research established that PoC is neither theoretical nor imaginary. Rather, it is an accurate reflection of community life, verified through an empirical study in four countries, namely Namibia, Mozambique; South Africa and Zimbabwe (Wilkinson-Maposa et al., 2005). The concept and substance of PoC emerged from the use of grounded theory research techniques (Wilkinson-Maposa et al., 2005). In this process, ideas about the topic being studied are not preconceived, but rather arise from data that has been collected and analysed in an orderly way (Strauss & Corbin, 1998). The BCP study used this approach for an in-depth understanding of the ways in which poor people help one another and the reasons why they do so. Specifically, an analysis of qualitative text helped to reveal patterns in behaviour and give meaning to them (Strauss & Corbin, 1998). Use of grounded theory implies that PoC is culturally and socio-economically relevant and captures the lived experience of poor black communities who are typically the grantee partners and/or beneficiaries of CPOs in South Africa. This argument speaks to the quality and relevance of PoC theory used in this study.

5.3.2/...

5.3.2 Peer review

Credibility is further reinforced by the fact that PoC has been peer-reviewed. The PoC concept has been vetted and verified in the public domain since 2005, and distributed to the philanthropy sector both in Africa and internationally via a range of publications, conference presentations and papers. Specifically, *The poor philanthropist: how and why the poor help each other* research monograph, (Wilkinson-Maposa et al., 2005) received a favourable book review by a past president of the International Society for Third-Sector Research (ISTR). Numerous conference papers on PoC were accepted and presented in the period 2003–2010 by the European Foundation Centre (EFC), the ISTR, and the African Grantmakers Network⁵¹ (AGN). In addition, several articles were accepted and published in *Alliance*⁵², a United Kingdom (UK) publication serving the philanthropy sector globally, as well as journal and book chapters (Wilkinson-Maposa, 2009c; Fowler & Wilkinson-Maposa, 2013; Fowler, 2016).

Perhaps most significant of all, *The poor philanthropist* work has been variously cited and taken up by practitioners and scholars alike. This includes projects replicated at the University of North Carolina (Legerton et al., 2009) and uptake of the horizontal philanthropy idea in a programme for young scholars funded by the Charles Stewart Mott Foundation at the Centre for Civil Society, University of KwaZulu-Natal. A course curriculum based on *The poor philanthropist* has been included in the Master's Degree in Philanthropy offered at the University of Bologna and is used by other scholars in university curricula, by a retired senior vice president of the Ford Foundation, and by academics in Mexico, the United States (US) and the UK working from philanthropy centres. This range of exposure and engagement with PoC implies that the idea resonates, is acknowledged as important, and makes a contribution to knowledge and ongoing inquiry in the field.

⁵¹ The African Grantmakers Network (AGN) has membership from across the continent. It is made up of philanthropic institutions seeking to share experience and cooperate with one another. Available: <http://www.africangrantmakersnetwork.org> [2013, November 13]

⁵² *Alliance* shares ideas, debates and information across the globe among philanthropists and social investors that work for social change. A primary vehicle is a quarterly magazine. Available: <http://www.alliancemagazine.org/about/> [2015, May 11].

5.3.3 Demonstrated application

My confidence in the relevance of PoC theory to gauging horizontality is derived from the fact that PoC had already been applied to practice. This was important, as PoC would not have served the purposes of the study if the concept could not have been applied. Proof of its practical application is documented in *The Poor Philanthropist III: a practice-relevant guide for community philanthropy* (Wilkinson-Maposa, 2009a). This report, published by the CGSI programme, documented how PoC dimensions were successfully introduced to CPOs. It showed how to develop practical tools that allow community grantmakers to alter their practice by starting with and building upon the way communities help themselves. Its application was based on action research conducted by three CPOs in South Africa. In addition, a regional network of grantmakers shared in this research. This collaborative effort resulted in the development and testing of three tools.⁵³

Having established that PoC was carefully chosen as the theory to underpin a way to gauge horizontality, I now turn to the detailed substance of PoC.

5.4 The substance of PoC

In this section I define PoC, substantiate it by breaking it down into its component parts, and then juxtapose it with PFC (the exogenous helping system found in much international aid). In doing so, I respond to Adcock and Collier's (2001) argument that the researcher should demonstrate a solid comprehension of the theory selected for use. My source of information on this was the BCP research monograph, *The poor philanthropist: how and why the poor help each other* (Wilkinson-Maposa et al., 2005), and the CGSI monograph, *The poor philanthropist II: new approaches to sustainable development* (Wilkinson-Maposa & Fowler., 2009) that examines PoC in relation to

⁵³ One organisation developed the Philanthropy of Community Assets Inventory and Mapping (PAIM). This tool brings into view community-based assets, both external and internal, that exist within a community. Another in the Eastern Cape developed Philanthropy of Community Measuring and Valuing Assets (PMVA), a tool that assesses and assigns a financial value to the contribution that a community brings to the development table. Finally, a CPO working in Kimberly, Northern Cape, tested Philanthropy of Community Monitoring and Evaluation (PIME), which gauges the impact that an external help intervention has on communities that help themselves in caring for the sick (Wilkinson-Maposa & Fowler, 2009:2–3). This diverse range of applications implies that PoC “has legs”. This reinforced my confidence that PoC dimensions could inform indicators of endogeny.

theories of social capital. Other publications by these authors included in peer-reviewed and edited collections are cited (Wilkinson-Maposa, 2009c; Fowler & Wilkinson-Maposa, 2013; Fowler, 2016). The BCP and CGSI projects generated the theory used in this study; the authors Wilkinson-Maposa and Fowler continue to expand upon it and apply it.

An empirical study by Murenha and Chili (2011) in the rural community of Maphumulo, KwaZulu-Natal, South Africa, tested the idea of horizontal philanthropy. Their overall conclusion was that: “Horizontal philanthropy as practiced in Maphumulo, and in contrast to vertical philanthropy, exhibited characteristics that were to a large extent recorded in the Wilkinson-Maposa et al. 2005 study” (2011:32). This conclusion agrees with and therefore bolsters the credibility of the five dimensions of PoC presented below. While this study confirmed that the underpinning idea of help among the poor was connected to “reciprocity and cooperation”, it did not suggest that people necessarily felt a social obligation or responsibility to assist each other: “Most respondents said they were not obliged to give and gave freely” (Murenha & Chili, 2011:32). In this case, the decision whether or not to give was motivated by free choice. Taking this point into account, the authors could not unequivocally confirm that people put others first or sacrifice their own individual interests. This finding relates directly to dimension #5, philosophy of communalism, and calls into question how robust this quality is in all contexts.

5.4.1 Definition and description

Wilkinson-Maposa et al. (2005) maintain that PoC is one type of community philanthropy. This refers to “the relations of help among and between the poor” (Wilkinson-Maposa et al., 2005:xi) and is concerned with mobilizing people in a similar situation or community to move resources to where they are needed most in order to address a need or problem (Wilkinson-Maposa et al., 2005). As noted previously, it is exemplified by the organic practices of “self-help and mutual assistance” (Wilkinson-Maposa, 2009c:57). As such, PoC addresses what people in a community do for themselves through exploiting their own assets. This type of help is part of how things are done and uses resources that are “internal” to a community, rather than externally provided by another community (Wilkinson-Maposa and Fowler, 2009:8). The fact that

help is “organic and internal to a community” (Wilkinson-Maposa, 2009:57) qualifies PoC as endogenous.

PoC or “horizontal philanthropy” is distinct from PfC or “vertical philanthropy” (Wilkinson-Maposa, 2009c:57). The latter is exemplified in the official development aid system (Wilkinson-Maposa, 2009c), which transfers resources from a nation or community that “has” (i.e. is rich) to one that “has not” (i.e. is poor) (Wilkinson-Maposa & Fowler, 2005:8). Typically, this transfer fills a gap, providing what is missing as defined by the donor, and hence is seen from an external perspective (Wilkinson-Maposa, 2009c). The help given by international aid is “professionalized and external to a community” (Wilkinson-Maposa, 2009:57). This characteristic qualifies it as exogenous.

Having established that PoC is an endogenous type of community philanthropy, I move on to describe it in greater detail by outlining its five characteristics.

The research findings of the BCP brought to the surface five key findings about how poor people help each other. Help was defined by the poor themselves as: “The giving and/or receiving of something to satisfy or alleviate a need, a problem, a difficulty, sense of deprivation or lack of something, be it a tangible good/asset or ability” (Wilkinson-Maposa et al., 2005:36). Each dimension of PoC as a helping system is briefly described below, and then summarized in Table 5.1.

Dimension #1: Needs and networks

PoC treats help as a process whereby people in a community mobilize their existing resources to satisfy a need. Needs can be “normal” or “urgent” (Wilkinson-Maposa & Fowler, 2009:21). A normal need tends to occur on a regular basis, can be addressed given the resources at hand and is generally anticipated or expected. An example would be filling the short-term resources gap of a neighbour by giving them food when they have nothing in their cooking pot. In contrast, an urgent need is not expected and needs quick attention. Fire or accidents are obvious examples (Wilkinson-Maposa & Fowler, 2009). Wilkinson-Maposa and Fowler have this to say about needs and networks:

Both individual giving and pooling draw on and co-create help circuits. Access to assistance is gained through a personal set of connections or

networks that mobilize resources and address needs. The network involved is shaped by the interplay between the type of need and the nature of affinity (blood and social identity or physical proximity between the actors) as well as individual reputation. In other words, help networks are needs-based and multiple, they may or may not include more institutionalized sources of assistance, such as informal association and more formal organizations. In this respect, depending on the nature of the need, networks may be simple arrays of individual connections or contain complex combinations of actor types (2009:21).

Dimension #2: Range of capital transactions

PoC stresses the importance of taking action. People assemble whatever they have and make it available to assist others. The content of what is given and/or received can be “tangible or intangible, material and non-material”, mobilized alone or in combination (Wilkinson-Maposa et al., 2005:46). Material capital includes but is not limited to money (“cash, school fees, medical bills and business capital”), goods (“food, blankets, medicine, clothes, firewood and soap”), and productive assets (“farming and trading assets, utensils, materials, tools and livestock”). Non-material capital includes (i) knowledge (“advice, ideas, information, and skills transfers”), (ii) physical/manual support (“labour, accommodation, shelter, transport, projection”), (iii) moral/emotional support (“prayer, comfort, encouragement, standing tougher”), and (iv) interventions (“active problem solving, decision making and conflict resolution”) (Wilkinson-Maposa et al., 2005:46).

Wilkinson-Maposa and Fowler expand on the issue of range of capital transactions by detailing how the poor view the mobilizing of assets:

While less frequent in terms of transactional content, the value attributed to knowledge, contacts, information, physical and manual assistance and moral/emotional support must not be underestimated. Such access is not necessarily depleted, lost or foregone through use. In this sense, they help poor people satisfy a reputational requirement to give (no matter how little – the act is as important as the content), which maintains eligibility for assistance, social cohesion and network access (2009:22).

Dimension #3: Maintaining or moving

The help system among the poor concentrates on assisting those in need to maintain their current position and avoid falling into a worse condition (Wilkinson-Maposa et al., 2005:85). Clearly, help is primarily a process to aid survival in the face of “adversity”

(Wilkinson-Maposa et al., 2005:85). It is also the case that help can advance the recipient to an improved situation, freeing him or her from the adverse conditions of poverty. However, the poor do not use help systems or mobilize their resources exclusively to aid survival, as the process can also be developmental. The issue of development as maintaining one's status or condition against forces pushing one further into adversity is explained by Wilkinson-Maposa and Fowler:

Poor people judge help in many ways. An oft-cited criterion is whether or not the help is expected to maintain current living status, conditions and prospects (that is prevent slippage into deeper deprivation); or whether it has the capacity to ... increase the possibilities for escaping poverty and better countering adversity. Where political or economic forces and pandemics like HIV/AIDS are a continual source of livelihood insecurity and downward pressure on assets, the developmental significance and impact of maintenance oriented help is often overlooked (2009:22).

Dimension #4: Norms and conventions of decision making

Help systems used by the poor are based on social obligation. The norms and conventions of the decision making process are not written down; rather, they are based on widely understood conventions, customs and sanctions that determine who will or will not be helped (Wilkinson-Maposa & Fowler, 2009). Put another way, "help is held together by loose and binding agreements" (Wilkinson-Maposa et al., 2005:81). It is the ability to comply - that is, to play by "the rules of help behaviour and decision-making" (Wilkinson-Maposa et al., 2005:81) in a transaction that justifies and reinforces one's eligibility to be helped by a network. Compliance with social agreements acts as a feedback loop between transactions, screening eligibility for help (Wilkinson-Maposa et al., 2005). Wilkinson-Maposa and Fowler describe the decision-making process in the following way:

In practice, the horizontal help system rests on a decision-making process. First, a trigger arises and a potential transaction is initiated – help is asked for or offered. The request is then screened for appropriateness and actor eligibility. If the result of this screening is positive, a help transaction is selected as a combination from the parameter options described previously. Actors then establish an agreement on the terms or parameters which will apply. Finally, over time, there are reputation rewards for conforming to conventions and rules and there are sanctions for not doing so (2009:22–23).

*Dimension #5: Philosophy of communalism*⁵⁴

Within PoC, those being helped must be part of a living community. They must show a “public and collective consciousness or community” (Wilkinson-Maposa et al., 2005:80). Wilkinson-Maposa and Fowler expand on a philosophy of communalism, as distinct from individualism:

The philosophy of Ubuntu (I am because you are) rather than the Cartesian axiom of “I think therefore I am” (Masamba Ma Mpolo, 1985) provides a different behaviour proposition and interpretation of help among the poor in southern Africa... Denying help to another is to deny one’s own identity as a human (2009:23).

For ease of reference, Table 5.1 summarizes the five dimensions of PoC and describes each. It illustrates and clarifies that needs and networks addresses *who* receives help, range of capital transactions focuses on *what* is given, maintaining and moving concerns *motivation*, norms and conventions of decision making focuses on *how the decision to help is made*, and philosophy of communalism expresses *how community is seen or viewed*.

Table 5.1 Five dimensions of PoC

Descriptor	Dimension	Operational definition
Whom you give to/go to	Needs and networks	Help networks that are needs-based and multiple, recognizing (i) that needs can be urgent, immediate and unplanned for, as well as normal or smaller, which can be anticipated and planned for, (ii) that the networks used to address them are accessed through a personal set of connections, and (iii) that the help network used is informed by the need that must be addressed.

⁵⁴ The term “philosophy of collective self” was originally used by Wilkinson-Maposa and Fowler.

Content of what is given	Range of capital transactions	The transactional content, both tangible and intangible material and non-material support, used to address a need. It satisfies the requirement of “giving no matter how little”, determining eligibility for assistance, securing social cohesion and sustaining access to help networks.
Intention behind giving	Maintaining or moving	The transaction needed to judge help as either useful to maintaining living status, condition and prospects of those in need to prevent them slipping into further hardship, or to increase the prospects of escaping/countering adversity.
Basis of decision making	Norms and conventions of decision making	The decision-making process that uses unwritten yet widely used conventions, customs and sanctions to determine who is and who is not helped. Such processes are continually updated, transaction by transaction, for reinforcement or attrition of the network’s value to those who use it.
View of community	Philosophy of communalism	The cultural motivation necessary to behave in a way that assists someone, using a public and collective rather than individual consciousness.

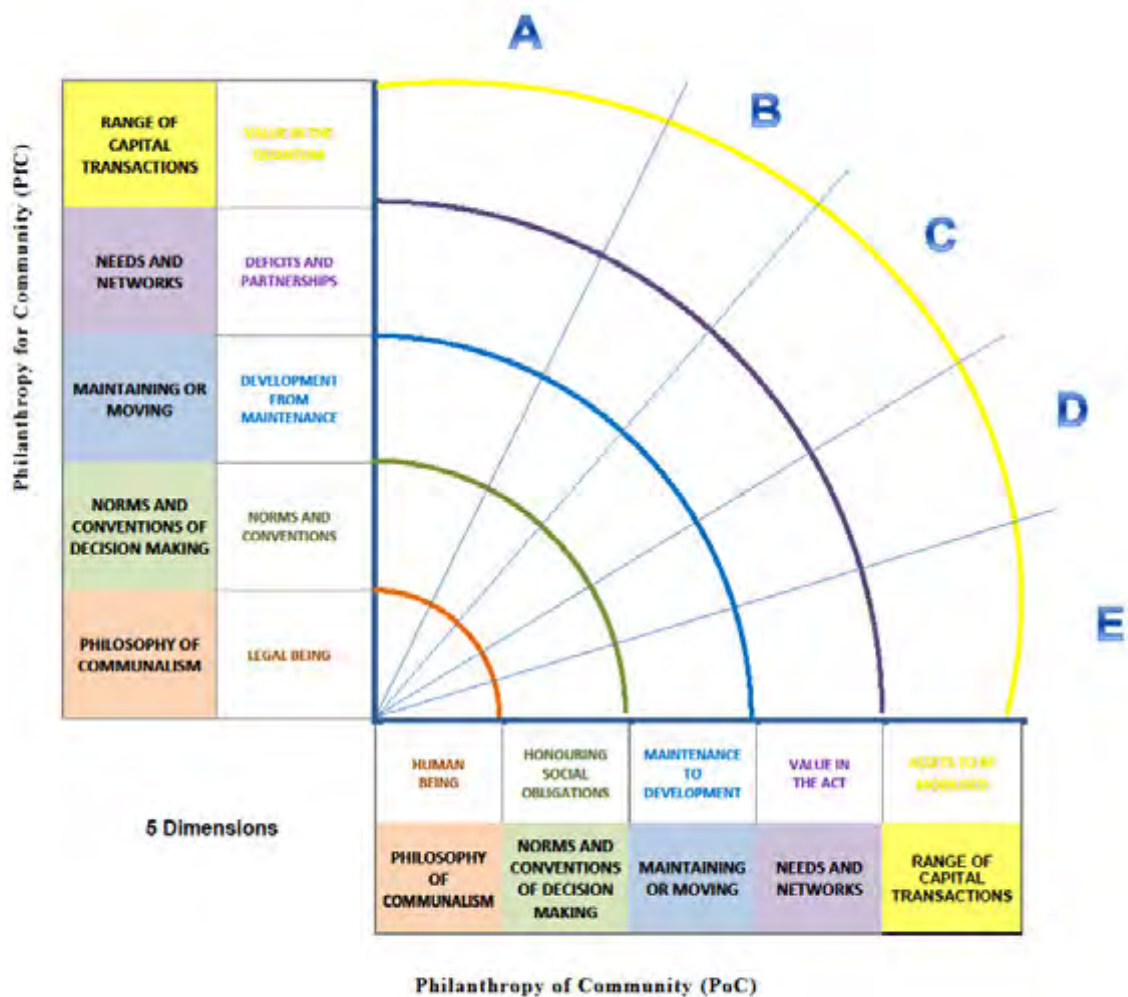
(Concepts sourced from Wilkinson-Maposa & Fowler, 2009)

While the theory of PoC had to be substantiated for this study, this alone was not enough. To ensure a robust distinction, I needed to offset a grasp of its five key dimensions with an understanding of its counterpart, PfC. If the HG is to gauge the trend of a CPO’s behaviour, it has to be capable of measuring whether the direction of a CPO is more like the international aid systems (moving in an exogenous direction) or similar to the way communities mobilize resources for development and change (the endogenous). Fortunately, the CGSI programme has made progress in this regard. Concerned with the application of theory to practice with the aim of improving endogenous development efforts, this programme brought PoC and PfC together in an arc formation. In the next subsection, I move on to describe the philanthropic arc (Wilkinson-Maposa & Fowler, 2009).

5.4.2 Juxtaposition of the endogenous and exogenous

I use a particular formulation of PoC – one that juxtaposes the five dimensions of PoC with those of PfC introduced in Chapter 2. Figure 5.1 below shows the PfC representing the international aid system on the vertical axis, while PoC representing indigenous helping systems is on the horizontal axis. These two axes are joined by five spheres that represent polarized behaviour. Between the two extremes is a spectrum of possible behaviours that to a greater or lesser extent, depending on where an organization is located, signify a vertical or horizontal pull. For each of the five spectrums on the arc, Table 5.2 details the vertical and horizontal stereotypical extremes in behaviour.

Figure 5.1 The philanthropic arc



(Source: Adapted from Wilkinson-Maposa, 2009c:71)

Table 5.2 Comparisons of PfC and PoC

	Vertical (Exogenous)	Horizontal (Endogenous)
Philosophy of communalism	Primacy of recognition of a legal being with uniform rights and obligations.	Primacy of recognition as a human being, and as belonging to a collective with identity and dignity.
Norms and conventions of decision making	Premised on agreements negotiated against “standard” external norms and compliance enforced by recourse to law and third parties.	Premised on socio-historical context of values, rules and conventions maintained by collective sanction.
Maintaining or moving	Premised on people escaping poverty as a “threshold” condition.	Premised on the resilience needed to cope with poverty as a dynamic condition.
Needs and networks	Premised on (material) deficits and needs to be satisfied.	Premised on capabilities and assets that are already deployed for survival.
Range of capitals	Premised on value in quantum measures of inputs, outputs and outcomes. Relational value lies in efficacy of resource utilization.	Premised on capital lying in the social transaction of intangible and tangible resources. Relational value lies in rooted processes.

(Source: Fowler, A. 2016 forthcoming.)

5.5 Summary

In this chapter, I introduced PoC both as a theory and as an empirical reality that informs the philanthropic arc as a performance metric for an organization. Its underlying conceptual framework highlights an organization's sensitivity to endogenous processes. Thus it supports a potential methodology that assists organizations to identify and plot their own behaviour. As such, it addresses an overarching concern of this research that is how to engage in a practical assessment of an organization's normative positioning, indicating whether it is moving in an exogenous or endogenous direction.

The philanthropic arc brings PoC and PfC together in relation to one another. It offers a way to establish reference points against which CPOs can assess their interaction with the grantee partners/communities they serve, enabling them to implement endogenous-sensitive development. Put simply, by asking CPO respondents, "Is organizational behaviour more like this or like that?" members of an organization can locate themselves on the five PfC-PoC spectrums as a way to gauge behaviour.

This framing on the basis of the philanthropic arc is critical to this study for three reasons. First it provides the substance (based on the centrality of the endogenous) from which a suitable methodology or yardstick can be developed. This invites the proposition, tested in Chapter 6, that PoC theory can be the basis for indicators designed to gauge CPO behaviour. Second, it proposes that organizational behaviour can be mapped on a spectrum between two extremes (vertical and horizontal). In doing so, it calls up the suggestion that quantitative data could be a useful device since it is amenable to plotting. Finally it provides a visual snapshot of CPO behaviour. The usefulness of this summative expression is revealed in Chapter 7, which will illustrate how it requires respondents to interpret the scores on the arc to establish whether they provide reliable information upon which to act.

Chapter 6

INSTRUMENT CONSTRUCTION AND ADMINISTRATION

6.1 Introduction

In this chapter I describe the central research task of actually developing a Horizontality Gauge (HG). I argue that developing the instrument was influenced by my prior experience and insight into the philanthropy sector, the demands of the research question, and the use of established action-research practices. In addition, I show that the process of developing the instrument was both creative and dynamic. It was not a mechanistic or generic one. The integrity of the instrument came from following established research procedures in the social sciences, while simultaneously capitalizing on innovation and my own inside knowledge. My approach was to decide what was appropriate and feasible, rather than to apply a regulated process cast in stone. This added to the study's credentials as a disciplined inquiry. Scholars including Cronbach, Suppers and Punch recognize that surprising or unexpected techniques can often produce the best instruments and design (Cronbach & Supper, 1969; Punch, 1998).

Here I perform three primary tasks. I explain my decision to use a mixed-methods research (MRR) design, show how my insider knowledge and experience guided four significant design choices, and recount the established research practice upon which I drew to bring rigour to the study. I conclude the chapter with a summative statement on the ordered way the HG was constructed.

6.2 Research design

In this section I detail and justify my use of a MMR approach and describe the type of design I used. The operational definition I used in this study went further than the simplest one based on the use of both quantitative and qualitative methods. Integral to the definition I choose is the generation of better knowledge. This is an attribute that

several scholars, including Greene, Caracelli, Kelle and Morse (Johnson, Onwuegbuzie & Turner, 2007), argue is important. Following their lead, I defined MMR for this study, as “a type of research in which a researcher or team of researchers combines elements of qualitative and quantitative research approaches for the broad purpose of breadth and depth of understanding and corroboration”⁵⁵ (Johnson, Onwuegbuzie & Turner, 2007:123).

6.2.1 Justifying the design

My primary reason for employing mixed methods was that it was demanded by the nature of the study. The need to gauge CPO behaviour to assess its directionality indicated that my approach should be specific rather than vague, leading to an outcome that would be short and sharp, rather than weighted with detail. I felt that it would be appropriate to use a quantitative research technique, with structured questions and a scale first. This would offer multiple indicators that a respondent could score and that could be used as the basis for a composite score, breaking down CPO behaviour into discrete elements in order to measure its organizational direction (Bryman, 2008b).

On the other hand, what if the data were envisaged as a response to a case-specific problem, that is, using the reality of a particular organization as the research context as well as part of an OD process to adjust behaviour? Here, data that was less structured and more descriptive could be beneficial, given its ability to give meaning and depict the context. This pointed me to the use of qualitative techniques, such as open-ended questions, which call for “rich descriptions” of behaviour (Bryman, 2008b:387). The participants’ understanding of organizational behaviour would be expressed and could be used to determine which behaviour was in line with their aspirations and which warranted consideration for change.

A quantitative calculation could use numbers to pinpoint where the CPO was located along a vertical and horizontal spectrum, while qualitative data could bring meaning to determining direction, by means of a description, and potentially could even offer an explanation of why it occurred. This could be critical to practically addressing the aspiration-practice gap in organizational development (OD). Having established my

⁵⁵ The authors offer this general definition based on an analysis of 19 definitions.

reason for choosing MRR, I then considered the way in which qualitative and quantitative methods were combined. I began by identifying the type of MMR design used.

6.2.2 Design features

There are many different designs and typologies of MMR. Describing and labelling different ways to mix quantitative and qualitative research, as well as laying out the rationale for doing so, has been an important focus for scholars. Creswell, Plano Clark and Garrett (2008), Leech and Onwuegbuzie (2009), Greene (2007), Johnson and Onwuegbuzie (2004), and Teddlie and Tashakkori (2006) have all devised classifications. For this study, however, I drew on Leech and Onwuegbuzie's (2009) typology. This is structured around three criteria: (1) the degree to which methods are mixed, (2) the timing of how they are mixed, and (3) the emphasis given to each method. Their categorization offered a reasonable degree of dimensionality. Using three factors to describe mixing is neither too complicated nor too simplistic. I now examine these three criteria of MMR design one by one.

The degree of mixing

This first criterion considers the degree to which qualitative and quantitative methods are mixed. At issue is whether they are “partially” or “fully” mixed (Leech & Onwuegbuzie, 2009:268). The HG is a “fully mixed design”, as qualitative and quantitative techniques clearly interface at more than one point in the research cycle. In fact, they mix at three points: namely those of data collection, data analysis and inference. However, they do not mix at the point of data presentation to respondents or any other audience, since only quantitative scores are plotted on the behaviour arc.⁵⁶ To be explicit the instrument has two parts. The first part uses closed-ended questions to collect quantitative data (Likert-scale scores). Each closed-ended question is followed by an open-ended question to collect qualitative data (an illustrative example of behaviour). The second part uses open-ended questions in a semi-structured group interview, in the form of a member check.

⁵⁶ This is illustrated in Chapter 3, figure 3.4.

At the analysis stage, to assess horizontality, I used a quantitative method, a tally sheet, to add up numerical scores. This reduced the data that was then visually plotted on the behaviour arc. At the inference stage, I used a member check (a qualitative technique) to interpret the quantitative findings plotted on the arc to assess their acceptability and level of utility to users. To illustrate the points of mixing, the quantitative data derived through Likert-type scores, as illustrated in Figure 3.1 in Chapter 3, answered a question about the extent to which a CPO was “more this or more that” along a vertical to horizontal spectrum of possible behaviour. Besides assigning scores, open-ended questions were used to obtain the reasons why the participants scored this way. To do so, it asked for an illustration of this behaviour. This narrative information offered an interpretive context for each quantitative score on two levels. For a first-level analysis of the data, I cross-checked each score and narrative text to uncover instances of agreement or disagreement between the quantitative scores and the narrative text. This confirmation offered me a quality control on how the statements had been interpreted. The second level of analysis dealt with the compiled data – that collected from all the participants. Using the combined quantitative data plotted on an arc and a thematic analysis of the narrative texts, I looked for how the characteristics of CPO behaviour, highlighted in the text, illuminated the quantitative scores. Combing data was a way to “put meat onto the bone” of the visual and summative arcs. This was achieved by providing narrative insight and possible explanation for the inferences drawn by the quantitative data. Furthermore, combining data served to deepen my understanding of particular “pulls or trends”, either overall trends or specific trends related to any of the five individual arcs.

The timing of mixing

The second criterion addressed whether the methods were mixed in a “concurrently” or “sequential” way (Leech & Onwuegbuzie, 2009:268). My concern was whether the qualitative and quantitative techniques I used were “at approximately the same point in time” (2009:268) or were different components of the study, with one taking place before the other. The HG is a “concurrent design” (2009:268), with qualitative and quantitative data collected and analysed in a complementary way, generating inferences that could inform a final analysis. Thus information gained from one set of data, for

example quantitative, was not used to make decisions about the qualitative data. That is, they did not interact sequentially to inform each other.

Emphasis on approach in mixing

The third criterion had to do with prioritization, with whether one method – qualitative or quantitative – was more dominant than the other. In the case of the HG, qualitative and quantitative methods were given approximately “equal status” (Leech & Onwuegbuzie, 2009:268), both being vital to answering the research question. While the quantitative data provided the gauge, the qualitative data was used to interpret how accurate and useful that assessment was from the organization’s perspective. Both qualitative and quantitative procedures were therefore essential to answering the research question and establishing its validity.

These sections have established that, on the basis of Leech and Onwuegbuzie’s typology, the HG is a “fully mixed concurrent equal status design” (2009:270) Hence, task one – describing the MMR design used – is complete. I now move on to demonstrating the ways in which my insider knowledge on CPOs informed my choice of methodology.

6.3 Capitalization of prior knowledge and experience

As noted in the preface, I came to this study as an insider. As a result, formative knowledge informed the HG design. From the outset, I knew from experience that four factors as detailed below had to be considered in the instrument design. Attention now turns to consider each and detail how I factored it into the HG design.

6.3.1 Making PoC tangible through organizational behaviour

From past experience, I knew that CPO staff found the five dimensions of PoC too abstract when applied to their own work. It felt too intellectual and remote from how they appreciated what they did. This insight, as noted previously⁵⁷, was based on my prior effort in 2009–2010 to develop different PoC indicators (Wilkinson-Maposa & Fowler 2009:39–42). While the five dimensions made perfect sense to staff as a way of

⁵⁷ See Chapter 1, section 1.2

describing community behaviour, when it came to reflecting on their own behaviour, the dimensions were not easily applied. Endogeny was simply not a lens through which staff viewed the organization's behaviour. This presented an important measurement challenge: to make PoC more tangible (that is real) to CPO members as a filter or lens through which to view their own actions. It called for an organizational behaviour lens for a focus on how the CPO acted. Hence the HG would have to use key areas of action as the entry point through which questions could be asked in order to analyse the directionality of a CPO's behaviour. This use of organizational categories or variables (White & Mitchell, 1976) as the framework for interrogation (that is through a series of questions) when combined with the idea of the aspiration-practice gap, led to an OD approach.

Some practitioners, for example from the International NGO Training and Research Centre (INTRAC), see OD as a process of change that allows an organization's system to help itself (James, 1998:13). Kaplan, from the Community Development Resource Association (CDRA), expands on this idea to highlight professional assistance or consultancy, maintaining that OD is the "facilitation of an organisation's capacity to self-reflect, self-regulate and take control of its own processes of improvement and learning" (James, 1998:15). Gaining insight and using it to work in better ways is about change. Indeed, OD efforts are widely understood as aimed at bringing about organizational change (Worley, 2003). When these ideas are applied to the HG as an OD instrument, it is thus considered a methodology of assessment intended to surface information that can reveal where a CPO's behaviour is in line or misaligned with what is intended. This indicates what works well and what needs to change in the community philanthropy model and its endogenous or horizontal bias. It is this information that allows for self-correction, leading to improved behaviour and developmental effectiveness, as the ultimate change outcome.

Having established that an OD approach was appropriate for the design of the HG, my task was then to review the literature on organizational behaviour to find suitable categories that would be familiar and understandable to CPO members. This led me to the four elements of organizational behaviour advocated by Porras and Hoffer (1986:479). As summarized in Chapter 3, these are organizing arrangements, social

factors, technology (what in this study I call “technical know-how”) and the physical setting (1986:479). Declared as “skeletal” (1986:478), this framework of organizational behaviour provided me with the essentials. This was exactly what I needed to combine with PoC. Specifically, I selected this set because its four elements represented the organization as a system that appreciated all its parts (that is, did not emphasize one element, for example the social, over another, for example the technical). Furthermore, it offered enough scope for developing a gauge. This was important since I was not looking for a detailed or fine-grained description. For this reason I chose Porras and Hoffer’s four elements over, for example, presenting the catalogue of research variables for the assessment of an organization offered by Porras and Berg (1983). Broken down into two sets of variables – one for process, the other for outcomes – each disaggregates further into a number of “classes” and “categories” for multiple items (1983:526). This was far too complex and unmanageable for this study.

Beyond this, however, Porras and Hoffer’s four elements had an additional appeal. They would be familiar to CPO staff and were observable. That is, they could be substantiated with illustrative examples. In addition, social factors dealt explicitly with CPO and grantee-partner interaction. They covered processes such as rules of the game, how different stakeholders interact, as well as how they are coordinated, which is critical to horizontality. To varying degrees, these four elements can have vertical or horizontal characteristics, a proposition that was previously illustrated in the behaviour arc.⁵⁸ Having explained my decision to use Porras and Hoffer’s organizational framework, I now move on to describe each element.

The first element, *organizing arrangement*, refers to deliberately established preparations to organize and manage what an organization does. These can include organizational structure, policy and procedures, as well as the organization’s goal, mission and strategy. Organizational arrangements also include how costs are controlled, how information is managed, as well as how the system of rewards or sanctions is maintained. The second factor is *social factors*. Also known as organizational culture, it covers the human or social system of the organization, taking in values, norms, decision making processes, group dynamics and informal

⁵⁸ See Chapter 3, figure 3.4

communication. The third element is *technical know-how*. It concerns the ways in which work is organized, what technical procedures and systems are used, as well as the expertise and tools that are at hand. The fourth element, *physical setting*, draws attention to the use of space and how it is organized. Of particular relevance to this study is the location of an organization for those it serves and the physical accessibility of the premises (Porras & Hoffer, 1986)

6.3.2 A narrative bias

My own experience suggests that CPOs are accustomed to reporting on grant activities and programmes by means of narration. Indeed, recounting the grant story lends itself to rich text description, highlighting the specifics of context and the human dimensions of development and change. Being the norm, the tried and trusted method of narration could easily become the default for assessing organizational behaviour. However, as argued above, a MMR design was needed. The design challenge was to produce some sort of gauge giving a reasonable estimate that could be grasped at a glance, rather than shrouded in detail. At the same time, this process had to be informed by the nuances and specifics that CPO staff are good at tapping into. This called for a method that would leverage a favoured way of working or personal bias to ease in or introduce a less familiar methodology. However, care was taken not to alienate or lose CPO staff by taking them too far out of their comfort zone.

To address this caution, quantitative data and narrative description were used in a complementary way. As noted previously⁵⁹, to inform the Likert score, respondents for each question statement were asked to think through their score based on illustrative statements that would substantiate it. Indeed this combination begged a considered score. It allowed respondents to use the narrative tradition of an illustration or description as their starting point. Once they were comfortable, they were invited to substantiate a quantitative response by providing an illustrative example of behaviour that substantiated their score. A third insight relevant to gauging endogeneity was now needed, which moves the discussion to the analytical framework.

⁵⁹ In Chapter 3.

6.3.3 The arc as an analytical framework

My prior experience with the philanthropic arc⁶⁰ told me that it could be a neat structure or scaffolding for data capture and visualization. As explained previously⁶¹, an adapted version, that is, the behaviour arc, provided a set of benchmarks that set up a snapshot overview of an organization's behaviour. Divided into five spheres, the arc, while summative, is not reductionist because it examines behaviour through five dimensions, for a robust interrogation. Furthermore, it introduces the idea of a range of possibilities for CPO behaviour. The ability to capture this was important, as it was unlikely that a CPO would perfectly fit the extreme of each stereotype (the vertical or horizontal), but would rather “blend” behaviour, exhibiting and combining characteristics of each in response to “pulls” from donors and the community being served (Wilkinson-Maposa & Fowler, 2009:9). The proposition that a CPO could exhibit vertical and horizontal features at the same time was borne out by the Community Grantmaking and Social Investment (CGSI) programme as well as by this study, a point discussed in the Chapter 8. However, of immediate interest was the challenge thrown up by the decision to use the four elements as the organizing construct and analytical reference point for scoring. This meant adapting the philanthropic arc to bring in organizational behaviours. The HG solution, detailed further in this chapter, was to introduce sub-divisional spectra A to E in the arc, and carefully and systematically frame behavioural questions scored across a Likert scale in which the responses would be located.

Having presented three pieces of formative knowledge and how they were used to inform the HG's design, I now look at the fourth factor. The following is a discussion of the way that CPO behaviour in an organization is shaped by individual behaviour at staff member level.

6.3.4 Staff diversity

Grantmaking involves different tasks performed by a diverse set of staff members. They include but are not limited to an executive director (ED), grant administrators, as well as grant and training officers. In addition, there are board members and volunteers or

⁶⁰ Introduced in Chapter 5, figure 5.1.

⁶¹ See Chapter 3, figure 3.4.

interns. Grantmaking typically draws on the different positions and roles of members in a CPO. This suggests that an assessment of behaviour at an organizational level will be a composite of individual members' line functions, responsibilities, authority and accountability. From a self-assessment perspective, a measurement instrument should ideally capture these varied experiences and perspectives. It should gather multiple representations for a complete appreciation of the complex whole and a believable truth. The challenge to structure sampling such that participation is diverse and multiple perspectives are heard was met by issuing an inclusive selection protocol to leadership on sampling and specifically on informant selection. I asked each participating organization to invite everyone who was involved in community grantmaking in some way or other to complete an individual questionnaire and take part in the member check.

This section focused on the four key design features of the HG that were shaped by my formative knowledge of PoC and community philanthropy in South Africa. While my insider knowledge was factored into HG design, in its construction I was also keenly aware of building on and learning from the methods others had used and drawing on what had proved useful in other studies. Given this desire for rigour, the next section turns to four instances in which HG design was grounded in established research practices in the social sciences.

6.4 Application research procedures

Here I set out to demonstrate that rigour was used in designing the HG. I document the steps I took in developing indicators, both with the Likert scale and in testing the instrument.

6.4.1 Indicator development

Having determined that PoC theory and Porras and Hoffers' four elements of an organization would be used to measure endogeneity, my task was to develop a set of indicators. To do so I examined the relationships between these items following the approach of Simister and Smith (2010). This rests on breaking the topic down into manageable areas and setting up a system to explore and elaborate on it. I established a 4x5 matrix, made up of the five dimensions of PoC and four elements of an organization. As shown in Table 6.1, this configuration produced 20 cells.

Table 6.1 A heuristic tool for the development of the HG

Element of organization/ Dimension of PoC	Organizing arrangements	Social factors	Technical know-how	Physical setting
Needs and networks				
Range of capital transactions				
Norms and conventions of decision making				
Maintaining or moving				
Philosophy communalism				

As a heuristic tool, the matrix allowed me systematically to examine the various combinations. All 20 cells were filled in, with a description of each behaviour coupling. These statements were then reworded into questions for a set of indicators that could be used and scored while bearing the arc segments in mind. The 20 questions became the substance of the individual questionnaire.

6.4.2 Scale development

In developing a Likert scale, I considered what type of scale to use, the aspect of dimensionality, the formulation and working of the questions, and how the data would be reduced and represented.

Likert scale

The Likert scale I developed had a number of features. The sequence A to E was employed to steer away from any suggestion of an order or hierarchy of responses that using numbers 1 to 5 might imply. I also considered that not all the participants might have had the first-hand experience or knowledge needed to answer all the questions. Were this eventuality not anticipated and provided for, a respondent might have been tempted to give an answer based on a best guess or could simply have left the question blank. Neither was desirable for data quality. The former could taint the quality of the data, while the latter would result in incomplete scoring and raise confusion over whether the respondent could not answer or failed to answer, either skipping or overlooking the question by mistake. This explains the inclusion of the column “unable to answer” in the questionnaire.

Dimensionality

To arrive at indicators of CPO behaviour many facets were considered. Each of the four elements of an organization was questioned multiple times. As shown in Appendix 1, the questionnaire was arranged in four parts, corresponding with each of the four elements of an organization. Each part consisted of five questions, with each question addressing one dimension of PoC. The structure of the layout and questioning is illustrated in Figure 6.1. From the layout of the questionnaire it can be seen that the HG has a high degree of dimensionality, as each behavioural element was tested five times for a thorough hammering of the topic.

Formulation and working of questions

The desire to gauge directionality meant that the scale had to record behaviour as tending either more to the horizontal or more to the vertical. This consideration determined the line of questioning. The question formulation was in keeping with the use of “a more like this or more like that” statement, as previously discussed. This is captured in the wording, “to what extent”, as seen below in Figure 6.1. In terms of layout, also shown in Figure 6.1, a key word drawn from the statement (i.e. “are like us” and “are themselves”) was used to anchor the ends of the scale. This gave a reminder or clue signalling that scores on the left side were closer to one option in the question statement, while those on the right side were closer to the other.

Figure 6.1 Example of question structure and phrasing

Question 1.1


To what extent does your organization support grantee partners/communities that:

are like us – closely mirroring our own programmes, priorities and favoured way of working

OR

are themselves – clearly expressing their own focus, priorities and ways of working.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Are like us	A	B	C	D	E	Are themselves	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate it with an example.

Having shown how numbers were estimated for all four behaviours of an organization, I go on to consider the way in which data was reduced to make it manageable to work with.

Data reduction and representation

To be manageable, the scores from the individual questionnaires needed to be condensed and then combined for an abridged presentation of the data at the organizational level. Compiling was part of my administrative procedure and I used a tally sheet to reduce the data, as illustrated in Chapter 3 Figure 3.3. As previously explained I worked from the individual questionnaires, generated score subtotals for each question and then totals for each of the four elements of behaviour. These totals were then transferred and captured visually on the behaviour arc represented in Chapter 3 Figure 3.4, giving a summative gauge of directionality. This revealed the orientation of the data towards either a vertical or a horizontal direction. While the quantitative data was reduced and analysed during the administration of the questionnaire, the narrative illustrations generated were handled differently.

The narrative illustrations were reduced once the questionnaire had been completed. After the execution of each case, all scores, as well as narrative data, were transferred onto one master questionnaire. For each case, a compilation questionnaire device was used question-by-question to gather all the descriptions generated to substantiate the A, B, C, D and E responses⁶². I then read all the illustrative examples of behaviour. The first reading allowed themes to emerge from the data, while a second reading populated each theme with substantive examples. Coded this way, the narrative illustrations (20 statements per questionnaire, multiplied by the number of respondents) could easily have filled several pages, but were reduced to draw out key characteristics. To illustrate, in one case the four key behavioural traits that resulted from the above coding revealed that the organization placed value on efficiency, relationship building, flexibility, and the cultivation of potential.

In addition to the arc that gave an assessment of directionality, a descriptive tag was generated to signal typical behaviour. This information, following the completion of the questionnaire, was relayed back to the participating organizations, together with the behaviour arc, for their own internal use. As discussed previously, asking for illustrative examples ensured that the respondents made a considered response in deciding how to score each question on the Likert scale. It was an investment in the quality of the score.

⁶² An example of a completed compilation questionnaire is provided in Appendix 2.

However, as discussed in Chapter 4, the arc illustration did not advance the cause of validation. Rather, validation came from the member check review and the participants' assessment and acceptance of the gauge. The decision to code the narrative illustrations was guided by my desire to give back to the respondents a full data set so that they could maximize any benefit derived from taking part in the study. Having interrogated four elements of scale development, I now discuss how I tested the instrument.

6.4.3 Testing the instrument

Once the scale had been established and formulated, I tested the HG. To do so, I considered a conventional approach advocated by Presser et al. (2004). In this, the researcher's own experiences, observations and analysis of results are used to modify questions, wording and administrative procedures. However, to avoid the potential effect of my own bias (Presser et al., 2004), I drew on external views. Refinements to the HG were based not only on my own observations and experience, but also on those of experts in the sector and of the CPO staff members themselves as end-users of the instrument.

I shared the substance of the questions and the scales with academic colleagues by email. To refine the questions, the completed 4x5 matrix that generated the 20 question statements was reviewed by an expert in civil society who is knowledgeable on philanthropy of the poor in Africa and well positioned to comment on how the cells of the matrix were populated. He assessed the heuristic tool in terms of its necessity and its capacity to generate questions and capture the vertical and horizontal extremes. While applauding the contents, he queried two of the 20 cells.⁶³ These were subsequently revised. This external review of the content of all 20 questions by an international expert and their subsequent revision ensured that the content making up the HG could be considered sound.

To establish the extent to which the five-point quantitative Likert scale was serviceable, I asked another academic colleague, this time a statistician, to review it. He is an advisor to the philanthropy sector globally and is very familiar with community philanthropy. He agreed that the five-point scale using letters instead of numbers was appropriate and

⁶³ Email correspondence, 2013 October.

was “fit for purpose”.⁶⁴ I believe that this sharing and reviewing was not only necessary to assess and refine the strength of the content of the questions and scales, but was appropriate, given the exploratory nature and challenge of the measurement task. I now needed to address the issue of administering the questionnaire – its clarity, flow and how well it would work for the CPO members themselves.

To assess whether the HG would be palatable to CPOs, I pilot-tested it with a community grantmaker in Port Elizabeth in the Eastern Cape Province. I chose this organization deliberately because they had previously collaborated with research on work related to PoC. Their participation in the CGSI action research programme meant they were not only familiar with PoC theory, but committed to its application and the processes and rigour required to do this. Our past collaboration suggested that they would be a willing and competent CPO partner for a review of the instrument.

In addition, because of the established collaborative relationship, I knew the staff would be able to fully engage and critique the HG. In my introduction to the pilot study I asked them to judge both the instrument and the administrative process. Their primary brief was to speak up and share their thoughts at any time during the administration of the questionnaire. Once the HG had been fully administered, a debriefing session was held to ensure they had recorded all their perceptions and impressions. In approaching the pilot test, I created a space for open feedback. This proved effective as the staff made three important observations.

One participant recommended that the scoring make provision for “I don’t know”. As discussed above, this would offer an option other than guessing or leaving the question blank. The second observation was that the wording of Question 4.3 was not fully understood by one respondent and was subsequently revised. The third suggestion was that the HG had the potential to be used beyond the CPO sector, a point that I pick up again in Chapter 8. Thus the pilot test resulted in two important changes: one to scale formulation, and the other to the wording of a question. However, as a result of the pilot, I also made observations of my own that helped me to refine the HG.

⁶⁴ Email correspondence, 2013 October.

It took between 60 and 90 minutes for respondents to complete the questionnaire. There could also be up to a thirty-minute gap in completion time between the submission of the first and last questionnaires. This gave me a useful insight into pacing. It was clear that I needed to be flexible in the time I gave to complete the individual questionnaires, rather than setting a fixed time limit. It was possible to begin the tally sheet process as soon as the first person had submitted a completed questionnaire. This proved to be an efficient way to do it. It meant that the gap between completing the questionnaire (part 1) and the group interview (part 2) could be kept to a minimum.

Four other observations gave me confidence that I was following a viable path. Firstly, the pilot showed that the descriptions of the four elements of an organization were familiar to the CPO respondents and were easily understood. Secondly, they were able to follow the instructions in the questionnaire. They gave one score for each question and generated an illustrative example. Thirdly, they had a positive impression of the exercise and were motivated to participate. This implied that the process, despite its 20 questions, was not too arduous. In fact, one respondent made the comment: “I enjoyed doing it; these are the types of questions I would ask myself.” (Respondent, pilot test, 2013 November). Another said: “The questions flowed.” (Respondent, pilot test, 2013 November). Fourthly, the arc was approved. The pilot test suggested that transferring data onto the arc for discussion and interpretation was a viable approach, allowing the respondents to engage and give meaning to the scores. This point is revisited in Chapter 8, where I note that some of the informants from the cases engaged in this study struggled to “read” the arc.

This section showed that the HG was considered sound and subject to minor yet important refinements, namely in the scale. This conclusion was based on three sources of knowledge: expert opinion, the respondents’ experience, and my own observations. Since major changes to the structure and questions were not needed and the minor revisions were easily made, a second pilot was not warranted. After being tested and revised, the HG was ready to be administered to the cases. I now turn to the important issue of sampling.

6.4.4 Sampling

I used purposive sampling to determine which CPO cases would be used in this study. The cases and respondents involved were selected with intent (Teddlie & Yu, 2007). As a result, the sample represented a broad group or range of CPOs and a diversity of staff voices.

When it came to choosing the CPOs, as well as deciding who should participate from each CPO, I sought maximum variation in order to capture the overall picture of the sector. This strategy in respect to CPO selection marked a commitment to testing the extent to which the HG could withstand and be applied in various contexts and settings. Furthermore, it suited the objective of gauging horizontality that the questionnaire captured a breadth of information. I achieved this by engaging multiple voices from within each CPO for a depth of understanding about its behaviour from different perspectives. Having explained the sampling strategy used and its rationale, I now look at the procedures I used to put it into operation.

To select the sample, I consulted membership lists of two existing networks to which grantmakers belong. These were the South Africa Community Foundation Association (SACOFA) and the Southern African Community Grantmakers' Forum. To check for completeness, I then carried out a web search of community grantmakers that received funding from the Charles Stewart Mott Foundation and from the Global Fund for Community Foundations, as active funders of community philanthropy in South Africa. Using these two sources – a network list and donor portfolios – allowed me to triangulate two information sets to draw my sample. The lists were then screened to identify those organizations awarding grants to communities that had an office or base in Cape Town and or its surrounding area. The requirement was both a convenience and cost factor that would make the study viable for me. The CPOs in this area were selected for practical reasons. They were physically accessible and I already had established relationships with them, a feature I considered critical to facilitating entry. This process resulted in a potential sample of six organizations. While taking community grantmaking and geographic location as my selection criteria threw up a set of organizations, there were a number of other characteristics I considered in order to interrogate the degree to which the sample was diverse.

To understand the ways in which the CPOs in this selection were the same or different, I consulted each organization's website, establishing a profile for each of them. The key characteristics that defined and differentiated the cases were established. This classification was critical.⁶⁵ From the outset, it was clear that to establish validity of the HG I had to know about the extent to which it could be applied in different contexts.

I gained access to organizations by contacting the executive directors or senior leadership with an email explaining the aim of my study. This was followed up with a phone call. Of the six organizations approached, five responded favourably. I carried out the assessment questionnaire with them at their offices in March 2014.

Table 6.2 shows the number of respondents for each case and their designation. The total number of respondents and cases may at first glance appear small. However, five of the six possible cases participated in the study. In three cases (1, 3 and 5) the numbers of respondents represented the full complement (100%) of the staff in each organisation. They therefore represented the totality of perspectives from the various positions or designations in the organization. In case 2, all the professional staff was represented, while in case 4 respondents represented all the key departments.

Table 6.2/...

⁶⁵ The results of this analysis are presented in Chapter 7, Tables 7.5, 7.6 and 7.7.

Table 6.2 **Voices captured in the sample across the five cases** ⁶⁶

Case/ Voice	ED/ CEO	Programmes/ Grants	Finance	Admin	Operations	Fundraising	M&E	Interns	TOTAL (across specific cases)
#1	1	1							2
#2	1	2						1	4
#3		2	1		1	1	1		6
#4	1	3		2	1		1	2	10
#5	1	1	1						3
TOTAL (across all voices)	4	9	2	2	2	1	2	3	25

As indicated above, the ED or senior leader from each CPO arranged for all those staff involved in some way with community grantmaking to participate. However, while having the voices in the room was a start, it was not necessarily enough to make sure that all their perspectives were expressed and heard. To ensure this, I informed the respondents both orally and through a consent form, found in Appendix 3, about their right to withdraw from the study if they chose not to participate. I further clarified that my aim was to test whether the HG could assess horizontality. My interest was not in the CPO scores *per se* – that is, where a particular CPO was located on the vertical-horizontal spectrum. I reassured the respondents that there was no right or wrong score on the gauge. I also made it clear that, while the HG involved an individual questionnaire, making sure that all members had a chance to express their views, the tallying process would combine all the data from the respondents into a collective assessment. I assured them that what they said would remain anonymous and would at no point be singled out. Even though they were contributing their own views to the study and to the assessment of their organizations, their anonymity would be protected.

⁶⁶ To avoid disclosure of any information that might be sensitive to an organization, the data generated is not cited using the CPO’s name but rather with a case reference number.

This section concludes the description of the primary tasks set out in this chapter. It introduced the HG, described the design and application of MMR, discussed the ways in which insider knowledge informed instrument design and finally illustrated a rigorous and justified approach to design features and administration. To wind down this chapter, I look at the key restrictions or constraints.

6.5 Limitations and delimitations of the instrument

No instrument can do everything. The HG has a number of “limitations” and “delimitations” (restrictions intentionally executed) (Rudestam & Newton, 2001:90), ranging from the design to data collection and analysis. This section lists them and summarizes their unfavourable effects on the study.

Objective

This research was limited in what it set out to do. The goal was to test the validity of HG in gauging the horizontality of a CPO. While it was envisaged as part of an OD process – in which the scores would be used for self-correction to improve organizational performance – it was beyond the scope of the study to facilitate this application. Accordingly, it is not possible to comment on the impact of the gauge for improved performance.

Instrument design

The main limitation in using a Likert scale is its inability to give weight to the different attitudes expressed. If respondents felt that any one element of the organization was weightier than the others, the scale did not reflect this. For example, it could be the case that both physical location and social arrangements were found to be in a vertical direction. However, from an OD perspective it could not be assumed that they should be given equal priority in any efforts to change behaviour. In the opinion of respondents, one element could have a greater impact on addressing community needs and/or bringing about enduring change, a key benefit of horizontality, than another. In short, while the study was based on four elements that influence a CPO’s behaviour, it did not offer insight into the relative importance of each for improving its effectiveness or its relevance to the community it serves. The use of an alternative scale designed to

measure attitude, for example that provided by Thurstone or Guttman⁶⁷, with the ability to “calculate the scale value of each attitude item” (Punch, 1998:94), could offer such insight. However, such response scales are more complicated and are generally not favoured by researchers. Nevertheless, the HG provided important and practical information about the directionality of organizational behaviour. This could be the basis for subsequent follow-up discussions and decision-making, with specific elements given priority in an effort to improve performance.

Sample population

There was one main delimitation of the sample used in this study. Adopting the case of community philanthropy implies that the instrument was tested on one particular type or sub-group of CSOs. In reality, the problem of an endogeny gap between aspiration and practice extends beyond CPOs. Indeed, while endogenous development is a popular principle, it has proven difficult to implement more generally in practice⁶⁸. Testing the instrument on other CSO groupings and even on other development actors, including government or corporations that are committed to endogenous development, could create a basis for more solid conclusions on the validity of the HG⁶⁹.

Data collection

The questionnaire was used to gather the attitudes of CPO members about the directionality of their organizations. Because the study took an OD perspective, the views of staff members and volunteers were critical. This focus implied a delimitation, in that the views of other stakeholders who could have had an opinion on CPO behaviour, for example their donor and grantee partners, were not gathered. A comparison of stakeholder attitudes would have allowed for triangulation and provided a basis for firmer conclusions. However, the survey instrument would have had to be revised for these stakeholder groups. In particular, in the case of grantee partners and community members, for reasons of literacy and comprehension, an alternative data collection technique might well have been needed. Collecting data from different stakeholder groups for the purpose of triangulation would not have been a

⁶⁷ According to Punch (1998:94–95), Thurstone’s procedure is the “equal appearing interval scale”, while Guttman’s scale is known as “cumulative scaling”. Together with Likert, they are the three scholars associated with attitude scaling.

⁶⁸ This point was established in Chapter 2.

⁶⁹ Discussed in Chapter 8.

straightforward matter of administering the HG to different respondent groups; instead, it would most likely have involved a technique other than that of an individual written questionnaire. Nonetheless, the HG gave results presented in summary form on the arc that CPOs could share with other stakeholder groups for cross-checking and verification.

6.6 Summary

This chapter described the way in which action-based research was used to establish, test and validate a meaningful and credible instrument for organizational self-assessment, informed by the proposition that respecting endogeny and “development on the indigenous” (Ake, 1988:7) have been developmentally neglected. It contained a supposition that staff of CPOs are probably aware of the aspiration-practice gap that they straddle and see value in reflecting on and visualizing what this means in their daily practice and its implications for remedial action.

It explained the requirement for a mixed-methods approach to the empirical substance, while drawing on the available formative knowledge to inform the HG’s design. It offered first-order evidence of a practical contribution to putting into operation the theory elaborated in Chapter 5.

It remains to be seen if and how results of the qualitative and quantitative analysis of the data generated by the HG satisfy second- and third-order analysis. The next chapter explores this further, by applying four analytical procedures to the quantitative and qualitative data generated across the five cases in the study.

Chapter 7

QUANTITATIVE SCORES AND QUALITATIVE EVIDENCE FOR CASES

7.1 Introduction

This chapter applies analysis this time to the scores and other information generated by the Horizontality Gauge (HG). In doing so, it addresses level 5 of the validation framework. It begins by presenting the quantitative and qualitative data in detail. By illustrating what each set of data revealed in its own right – as well as in comparative combination – it generates higher-order, forward-looking findings. These foreshadow the discussion in Chapter 8, which answers the research question. It then summarizes insights that draw attention back to Chapter 2, speaking to the broader issues of endogenous development, community philanthropy and evaluation research. Since this does not add evidence on the efficacy of the HG, this treatment falls outside the scope of the research question. Its inclusion, however, is based on its potential implications for refinement of the HG and contributions to conceptual and practical methods. These insights have been incorporated in order to better set up the discussion in Chapter 8.

The present chapter argues that the HG generates two types of evidence. One relates to the validity of the instrument and is fundamental to establishing trustworthiness, while the other contributes insights into community philanthropy organization (CPO) behaviour and the trajectory of endogenous development in South Africa. Both are important to the broader topic of this study. I also argue that the analytical process in the study was as important as the findings that were generated, and that process and product must be seen together. The data is accordingly presented as it evolved, together with an explanation of how findings emerged from a specific analytical process or combination of processes.

7.2 Scores related to validity

The presentation of quantitative findings in this section is based on the consolidation of scores from all five cases. I do not stress the results of each case or present the findings case by case. Rather, the objective of the analysis, presentation and discussion of the combination of scores for all five cases is to further examine the validity of the HG. What the scores say about the behaviour of a particular CPO are singled out to the extent that they shed light on and explain issues of validity.

The section gives the quantitative scores produced by the Likert scale and the qualitative evidence generated by the member check technique, both alone and in combination. To do so, I used four key analytical procedures: the tendency and distribution of scores, the respondents' assurance in the scores, respondents' perception of utility, and a characterization of participating CPOs.

7.2.1 Tendency and distribution of scores

I sought evidence, both confirming and refuting, to determine whether the HG actually assessed horizontality. This came from the quantitative scores recorded in the tally sheets and presented on the behaviour arc. The analysis of applicability and consistency was used to assess the tendency and distribution of scores. These were based on two primary measures: mode (most frequently cited response) and three points on the arc – namely a vertical side, a horizontal side and a mid-way point. Evidence related to two other validation criteria, namely truth value and applicability, will be discussed at greater length in Chapter 8.

Deriving this information involved converting the five-point scale (A to E) – introduced in Chapter 3 – into a three-point scale. To do so, I merged the A and B elements and called this the vertical side, then merged the D and E elements and labelled this the horizontal side; this left element C as the mid-point. Next, I added up the scores in each sphere of the arc for each side (that is the vertical, horizontal and mid-point) and determined the total number of scores respondents had assigned to each. By comparing these scores and noting where the highest number of scores was assigned, I determined the basis for the CPOs orientation. Table 7.1 gives the comparative scores (and

percentages)⁷⁰ for the vertical, mid-point and horizontal parts of the arc for each CPO case. Bolding of text is used to highlight the highest score/percentage, representing the behavioural bias.

Table 7.1 Three-point tendency and distribution measure

Case	Vertical	Mid-point	Horizontal
#1	12 (34%)	17 (49%)	6 (17%)
#2	22 (27%)	8 (10%)	52 (63%)
#3	32 (19%)	53 (30%)	90 (51%)
#4	37 (32%)	43 (38%)	35 (30%)
#5	19 (36%)	11 (21%)	23 (43%)

For the five cases, three CPOs favoured the horizontal side of the arc, two were biased toward the mid-point, while none demonstrated a vertical prejudice. This spread is not surprising and can be easily explained. As discussed in Chapter 2, CPOs by definition set out to place the community at the centre of their practice. A predisposition to the horizontal side was therefore expected. One would be unlikely to find a CPO gauge strongly in favour of a vertical orientation, a tautological conclusion that one would expect to be discounted by deeper analysis. Such a result would call into question the soundness of the HG. However, mid-point orientations were not a cause for concern. As discussed later in this chapter in the member check section, it reflects the strategic way in which CPOs – as intermediary organizations – manage the lived reality of competing demands and expectations placed upon them by their “back donors”⁷¹ and the communities they serve.

From the results of the tendency and distribution procedure, I concluded that the HG could, in fact, signal directionality (favouring the horizontal, vertical or in the middle) in all five cases. This implied that the data collection, compilation and presentation

⁷⁰ The total number of scores for each case is not the same because different numbers of respondents participated. Therefore the number of answers that informed the scores varied from case to case.

⁷¹ A back donor provides the financial resources which a CPO in an “onward” position grants to community groups.

processes had merit and were workable. However, this was not sufficient to prove that the gauge was adequate, as this finding failed to determine the extent to which the gauge was accurate – or at least in a way sufficiently believable to generate a high level of confidence. While the ability of the HG to capture the range of directionality that surfaced across the five cases established that nothing untoward or problematic had emerged, this was not enough. In the next section I move on to consider an analysis of the member check data. In doing so, I demonstrate how the qualitative data expanded the findings and deepened the evidence relating to truth value.

7.2.2 Respondents' assurance in the scores

To determine whether the gauge was indeed believable, I turned to the member check data. I thematically coded the way in which respondents answered the group discussion questions in order to assess the extent to which they approved of the behaviour arc scores. For this analysis, I read the transcripts of the respondents' discussion three times, looking for evidence either confirming or refuting the plausibility of the collective score plotted on an arc. Confirming evidence indicated an acceptance of the score, while refuting evidence signalled confusion, a questioning of the score, the instrument and/or its process, or outright rejection.

In my first reading, I counted the number of comments in the transcription as a way of making it more manageable for analysis and to draw out distinct ideas, points of interest or concern. For this analysis, a comment⁷² was simply the presentation of a topic or issue by one or more respondents, while a second reading categorized the comment as either affirming or refuting. My third reading gave me deeper insight into the nature of what the respondents had discussed. I found that their comments contained three different types of information. The first was the respondents' *judgement*. This recorded their opinion on the accuracy or quality of the scores. Secondly, a comment could decode or make sense of a score by giving an explanation for why it did or did not make sense to them. This was termed *a reading*. The third type of information was *broader reflection*. This umbrella term refers to a general discussion of a CPO's operational environment, situation or practice on which the score prompted reflection. This could be

⁷² The term "comment" is used instead of discussion, as in some cases the point raised was simply presented by one informant and not commented on by others, while in other cases a conversation between two or more respondents prevailed.

a grantmaking model, a shift in organizational strategy, an institutional challenge, a donor relationship, or the broader context in which the CPO worked, such as the overall funding environment. As distinct from a reading, such a comment did not explain a score; instead, it flagged the respondent’s reflection on the score in a more general way.

Having set out the parameters of analysis, I turned to the data on the number of comments made, their nature (whether confirming or refuting) and the type of information generated (judgement, reading, or broad reflection). The comments found in the five transcripts and their nature are given in Table 7.2

Table 7.2 Number and nature of comments found in the member check transcripts

Comments			
Case	Total number	Affirming	Refuting
#1	11	11	0
#2	6	6	1
#3	17	15	3
#4	6	6	0
#5	12	12	4
TOTAL across all cases	52	50	8

Across the five cases, it can be seen that 52 comments were recorded and that 50 of them approved the scores, while eight did not.

Next, Table 7.3 illustrates the types of information provided by these comments. Across the five cases, more than one type of information was offered in a comment, and in total across the 52 comments, 25 judgements, 31 readings and 26 pieces of broader reflection were recorded. This suggests a fairly even distribution of information types and implies that the comments were robust. Indeed, the respondents engaged in the member check as active participants. This implied that the HG was relevant to them, a conclusion

reinforced later in this chapter by the ways in which they argued that the HG was useful to them.

Table 7.3 Type of information found in a comment

Type of information				
Case	Number of comments	Judgement	Reading	Broader reflection
#1	11	5	8	6
#2	6	5	2	2
#3	17	10	12	8
#4	6	0	3	5
#5	12	5	6	5
TOTAL across all cases	52	25	31	26

As shown above, in the majority of cases CPOs approved the scores and their comments were strong, bringing together different types of information I now turn to the qualitative data to amplify this result.

I maintain that *judgement statements* were important to approval because they were conclusive. When confronted with the broad question: “Do the overall scores for each sphere, make sense to you?” the responses from four cases included remarks that were explicitly affirmative:

Yes. It is who we are, absolutely. It does reflect the way our practice is.”
(Respondent, Case #2, 2014 March)

This is very correct. (Respondent, Case #3, 2014 March)

Makes sense ... (Respondent, Case #1, 2014 March)

I do. Yes, I do ...” (Respondent, Case #5, 2014 March)

In no case was a negative response received for the overall gauge. However, feedback on occasion could signal a struggle to make sense of specific scores. For example, one respondent, in this case the financial officer, could not reconcile the number with what he/she knew about organizational behaviour:

This is why I'm saying the numbers are wrong, because the numbers shouldn't be one or two. Do you know what I mean? That's not making sense. In ratio proportions, it's not making sense to me. There is something wrong. I'm not saying the organization is wrong. (Respondent, Case #3, 2014 March).

In addition, *readings* of the data were also vital to the integrity of the results. Indeed, they provided a rationale or explanation for approval or concern. They either linked a score to a dominant practice or explained why it was so from a procedural or strategic standpoint. Put another way, statements of interpretation gave insights or details that further confirmed whether a score made sense. Thus the respondents gave credence to a specific score through an explanation of the vertical and horizontal pulls on the organization that would account for it.

In the case below, for example, the respondents explained that in the organizing arrangements on the arc, scores fell in the C sphere, yet some scores also fell in the B sphere, reflecting a vertical leaning toward behaviour that was more representative of the aid industry. They ascribed this vertical pull to the influence of their corporate donor:

Being in C [a sphere on the arc] with a pull up to B [a sphere on the arc] is explained by the Legal Wise partnership – i.e. corporate donor from the photo-speak program... While [the organization] was formally launched in 2007, 2013 was the first time we were able to secure a corporate partnership. (Respondent, Case #1, 2014 March)

Respondents from the same case went on to explain that the weighty numbers located in the D and E sphere (that is, the two most horizontal ones) along the physical setting arc reflected the decision to locate their premises along a transport hub next to government social service offices that were used by their clients. The community's preferences and needs had definitely been considered when the CPO decided where to set up its office, and this showed in the horizontal direction of the scores.

The score of 3 and the score of 4 in the physical setting arc covering sphere D and E [in behaviour arc], says that physical setting is a large horizontal pull for us. Physical setting is a large part of our identity in two ways. We are accessible – the office is close to the “transport route”, i.e. railway and taxi line – so easy to get to on public transport. But also of critical importance is that the office is also on the social service route – next to the courts, social services (grants), as well as home affairs for IDs [identification] and birth certificates. (Respondent, Case #1, 2014 March)

The third type of information, *a broader reflection* on practice, called on the respondents to use the scores to reflect more widely on their organizational practice. In the illustration below, on the basis of their own self-assessment, the respondents began to reflect on how other CPOs behaved and performed, looking outward to what others were doing:

I also think it’s an interesting point, and I think it’s understanding the way the picture is looking now from our perspective, our collective perspective. It is also worth then exploring what kind of results the other organizations are getting compared to what results we are getting, describing ourselves as an ultimate middle man, because I think it boils down to: “If you keep sowing corn, you can’t expect to reap apples.” (Respondent, Case # 2, March 2014).

In another example, thinking about the behaviour scores led the respondent to reflect on struggles the organization had faced internally:

So we have had phases also – we’ve had good phases and we’ve had really difficult phases where we found that communication has been a considerable challenge to us, and we were practically knocking our heads against the walls because we felt that we weren’t getting through to each other. Then I think we thought, okay, let’s try and put in place some little informal mechanism where we can feel we are addressing the issues and we are re-working our ways of communicating and accounting to each other. (Respondent, Case #5, 2014 March).

These examples reveal that, while the survey scores prompted broader reflection, the information did not speak directly to the respondents’ confidence in the scores. Broader reflection neither confirmed nor refuted the credibility of the HG in gauging a CPO’s orientation. Thus statements that reflected on practice added little to the evidence on the respondents’ approval of the scores, but demonstrated that the HG prompted critical and value-added discussion about a CPO’s work and that of the community philanthropy

sector. The HG process gave CPO staff an opportunity to pause for reflection that was arguably critical to organizational development (OD).

In summary, of the three types of information generated by the participants' feedback, two types – judgement and a reading – were arguably the most helpful in interrogating their confidence in the scores. Judgements based on explicit statements are unequivocal. However, evidence generated by a reading of the scores can also be powerful in establishing either approval or disapproval. Its validity comes from establishing a point either of resonance or otherwise, based on a more detailed appraisal than a statement that simply found meaning in the scores. Indeed, evidence that fleshes out what stands behind a score to corroborate or contest it is taken as being weighty. Accordingly, for the purpose of this study, the data that provided a reading was considered as weighty as a judgement.

The third type of information, *broader reflection*, aimed at establishing the respondents' confidence, was arguably too removed from their registering an opinion about the scores themselves. What broader reflection does offer, however, is a description of the CPO experience and context that is evoked by the survey outcomes and their discussion. As such, its power is perhaps in reinforcing the power of the HG instrument to evoke self-reflection. However, this did not necessarily contribute to establishing the validity of the instrument. On the other hand, it clearly allowed respondents to go beyond the scores themselves to make a connection with their overall organizational experience and its context.

In view of this tendency, it could be argued, if not conclusively, that had the HG missed the mark, failing to offer some reasonable gauge or likeness of organizational behaviour, it would not have stimulated discussion. It could also be argued that reflective discussion does indeed complement the conclusion of trustworthiness, which I will explore further in Chapter 8. Having given the findings from the first two analytical procedures, I move on to present the results of the third procedure.

7.2.3 Respondents' perception of utility

From the outset, as noted in Chapter 6, I intended the HG to be useful for adding value to what CPOs do. Opinion was sought to determine whether from the CPO perspective the HG had utility. This was accomplished by compiling and coding the responses for each case to an open-ended question: "What are the ways in which you think your organization can use this data or information?" To begin with, I simply read the text to look for statements and words that described a use for the data. This process was inductive, as I let the uses and themes emerge from the data. I did not go into the data with a list of uses, but rather let them emerge. In all five cases, at least two uses for the HG were surfaced, while in three cases more than four uses were cited. Case 1 came up with four uses, Case 2 with six, Case 3 with seven, Case 4 with three, and Case 5 with two uses.

I then coded the data and pulled out key ideas related to utility. This isolated four themes or categories related to a core functional area of CPO operations and signalled that the perceived application of the HG was broad. Clearly it was not restricted to one application or area of a CPO's work. The four uses were for monitoring and evaluation (M&E), reporting and sharing, OD, and capacity development. I then read the data a second time in order to develop each theme. This drew out rich, textured descriptions of the applications. Thirteen procedures were identified and then assigned to one of the four function categories, lending structure and order to the data. Table 7.4 summarizes the results of categorizing these 13 procedures under the four functional categories.

Table 7.4/...

Table 7.4 Function and related procedures

Organizational Function	Procedure
Monitoring and Evaluation (M&E)	<p>Track organizational behaviour over time</p> <p>Incorporate HG survey results in internal mid-year review</p> <p>Use “HG-type instrument” with grantee partners for a 360-degree evaluation.</p> <p>Incorporate HG survey findings in external evaluation /review process</p> <p>Promote HG instrument to back donors as a measurement tool</p>
Reporting/ Sharing	<p>Share information with staff, board and committee members</p> <p>Combine HG survey results with other organizational assessments</p> <p>Discuss HG survey results with other CPOs participating in this PhD study</p> <p>Share HG survey results with donors</p>
Organizational Development (OD)	<p>Apply HG survey results to strategic planning</p> <p>Use HG survey results to refine organizational structure and operations</p>
Capacity Development	<p>Use “HG-type” instrument to build institutional capacity of grantee partners</p> <p>Use “HG-type” instrument to deepen existing instruments used to track CPO impact on building the institutional capacity of partners</p>

In summary, this data showed that CPO members considered the HG to be useful. With four functional areas and 13 applications identified, the promise and potential of applying the HG was well established. Having presented the findings for the third

analytic procedure, an assessment of perceived utility, I now turn to the fourth and final procedure, the characterization of the CPO cases.

7.2.4 Characterization of cases

To demonstrate whether the HG could be applied outside of the five cases that made up this study, I sought information on the participating CPOs. If the cases involved had all been the same or atypical, this would have called into question the extent to which the HG could be relevant to a wider population of CPOs.

To investigate the extent to which the CPOs involved in this study were diverse in their composition or conversely focused narrowly on a particular type of CPO, I followed a basic three-dimensional classification, (1) operations, (2) programmes and services delivered, and (3) grantmaking approach or strategy. “Operations” broadly captures the reality that CPOs are set up differently; “programmes and services” reflects the fact that they make different offerings to their clients; “grantmaking approach or strategy” acknowledges that there is no single convention or way to make grants. To draw out distinctions, I broke down each classification further into features for which public information was readily available, either on the organization’s website or provided by a representative of the organization. This detail is illustrated in Tables 7.5, 7.6 and 7.7. I used a matrix format to capture this data rather than a rich text description, since it provided a neat categorization and lent itself to comparison across the five cases as a basis for drawing conclusions about the mix of the CPOs. This was important in establishing the extent to which the cases involved in the study represented a diverse cross-section of CPOs or a narrower representation of the universe of community grantmakers.

The categorization of CPOs according to operations used four features, namely identity of the organization, years in operation, funding sources and founding story, as shown in Table 7.5. The table shows that across the five cases the organizational identity was mixed, including status as a trust, a fund and NPOs. The number of years in operation ranged from seven for a relatively newly established CPO to one with an operating history spanning 86 years. Beyond this, CPOs have a distinctive funding mix, drawing on unique combinations of grants or donations from foreign development assistance,

corporations, small business, foundations, and government grants, as well as individual donations and fundraising events. Finally, no two CPOs had the same start: each was unique. For some, their birth was rooted in the concern of individuals, while others emerged from the work being done by an established organization or trust.

Table 7.5 Classification of cases by operational characteristics

Operational characteristics				
Case	Identity type⁷³	Years	Source funding	Founding Story
#1	Non-governmental organization (NGO), volunteer-driven, charitable organization; a registered trust, Public Benefit Organization, Section 18A Tax Exempt Status	7	International donors, individuals, business and government	Emerged out of the Foundation for Community Development – established in 1974 with an individual endowment
#2	NPO	10	Government, corporate, aid organizations	Goedgedacht Trust identified a need for a local organization to support the myriad of local initiatives at grassroots level
#3	Independent women's fund	16	Corporate, international aid, individuals	Group of feminists

⁷³ This categorisation is how each organisation (case) described itself.

#4	Professional funder, community investor and development organization	86	Payroll giving, individual giving, trusts, estates, corporate giving, foundations, fundraising/ special events, donations in kind/disaster relief	In 1928 local funds mobilized and distributed to 365 organizations
#5	NPO	17	International AID – bilateral and foundation; National Lottery	In 1994 a concerned group identified rural communities without access to resources

The categorization of CPO service/programmes, organized against six features (grantee partner, beneficiary, geographic coverage, service provided, the grant size or type, and sector of operation or coverage) is found in Table 7.6. Across the five cases, the grantee partners served by the CPOs ranged from smaller and more informal organizations to larger and more formal ones. The beneficiary was in some cases a specific grouping of people, for example women or those living with HIV/AIDS, while in other cases it was a specific type of organization, such as social welfare or home-based care. The geographic coverage was also varied. One CPO had national coverage, three were provincial, while the fifth covered a sub-provincial area. While the services offered generally favoured a combination of grantmaking and capacity building, some CPOs had additional features. These were related to the development of linkages and partnerships, as well as to fostering a culture of giving in society. In addition, the grant types tended to fall into different categories. Some were annual grants, others ad hoc, some small or micro, while others used particular modalities, for example giving circles or designated funds.

With respect to the service or programme profile, the sectors covered by the CPOs varied across the board. For some, the focus was broad, while for others it was more narrowly directed at an issue or sector, such as education, economic development or women's empowerment.

Table 7.6 Classification of cases by service/programme profile

Service/programme profile					
Case	Beneficiaries	Geographic coverage	Services offered	Grant type/size	Sector focus
#1	Grantee partner: Community-based organizations (CBOs)				
	Youth development – 10 to 24 age cohort People living and working within an HIV/AIDS prevention and support component Micro enterprises/ job creation strategies Community leadership development	Urban (metros within the region of the Western Cape province	Link donor interest to community needs and aspirations Partner with donors through designated funds or defined-interest funds to build permanent endowments Youth civic engagement training and capacity building programmes Sustainable livelihoods	Small-scale strategic impact – grant-making (community grants) Holistic health and wellbeing Fund/giving circles Designated funds/ bursaries	Aligned to the millennium development goals Women and children Youth civic engagement Economic development Environment
#2	Grantee partner: Community organizations/ projects				
	Most vulnerable sectors of our community	West Coast region within the Western Cape Province	Grantmaking programme Training programmes Fundraising incentive to promote philanthropy and local support for community development	Grant programme to local good causes that make a real difference in people’s lives	Youth, women, education and skills development Environment and tourism Health and community development

Case	Beneficiaries	Geographic coverage	Services offered	Grant type/size	Sector focus
#3	Grantee partner: Women-led CBOs working but not yet able to access formal funding				
	Grassroots women in urban, rural, and peri-urban areas	National	Local problem solving with home-grown solutions Promote a culture of giving	Five grant categories ranging from 1 to 30 000 rand	Education, training and capacity building for empowerment of women HIV and AIDs Sustainable income for women Gender-based violence Refugee women and migrant rights Lesbian women's groups Environmental sustainability
#4	Grantee partner: Formal organizations				
	Social welfare organizations	Western Cape province	Grants Capacity building training Designated funds	Annual grants to beneficiary organizations, ad hoc grants when needed plus project and network funding	Anything but sport, music, and animal welfare.
#5	Grantee partner: Local NGOs/CBOs				
	Home-based care organizations	Northern Cape province	Micro grants Leadership programme for rural women Sustaining networks of relationships to grow the culture of giving	Micro grants to promote gender equality between women/men and girls/boys	Women, youth, vulnerable children

The final categorization, of the grantmaking strategy/approach is given in Table 7.7 and is classified according to three features: namely how services are combined, their duration, and the repetition of the grant. As seen in the table, across the five CPOs, the majority (four out of five) were strategic grantmakers, that is, grants were aligned to the interests or areas of sectoral expertise of the CPO, while one was a responsive grantmaker, with grants aligned to the need and priorities expressed by the grantee or community. Similarly, four focused on providing money and capacity development, while in the fifth case capacity development was the primary concern and grant funding secondary. Again, for four of the five CPOs, the grant was for a year or less, while in one case the grants lasted for two years under a matched funding arrangement. Finally, in the majority of cases, multiple grants, typically up to three years, were awarded, though in one case the grant was a one-off and was not repeated.

Table 7.7 Classification of cases by grantmaking strategy/approach

Grantmaking strategy/approach				
Case	Type of grantmaker	Service combinations	Grant duration	Grant repetition
#1	Strategic	Primary focus is on training and capacity building but do combine this with grant money as the secondary focus	Maximum 3 years Prefer to match funds in year 2	Multiple grants – simultaneous in different sectors
#2	Strategic	Money and capacity building	1 year or less	Up to 3 grants
#3	Responsive	Money and capacity building	1 year or less	Up to 3 grants
#4	Strategic	Money and capacity building	1 year or less	Up to 3 grants
#5	Strategic	Money and capacity building	1 year or less	Once off

In summary, this analysis, based on fourteen features across three categories, demonstrates that no two CPOs in this study were alike. Each had a unique profile, yet in all cases the HG was able to gauge the directionality of behaviour. This implies that it can be applied to the CPO sector broadly, not just to the specific cases used in this study.

This section focused on the scores generated by the HG, presenting the primary findings that speak to the research terrain HG and are concerned with the validity of the HG. Chapter 8 returns to these findings and combines them with evidence generated elsewhere in the thesis to answer the research question, coming to a final conclusion on the extent to which the HG is valid. In the next section of this chapter, however, I present a second set of findings. While these insights extend beyond the validity question, they cannot be discounted as they contribute to the refinement of the HG and understanding of the field.

7.3 Insights into CPO behaviour and endogenous development

Three respondent discussions (in the member check transcripts) supplied further information on the significance of the HG and offered five important insights into how CPOs behave and manage their operations. The key arguments illustrate how organizations respond to donor demands made upon them, domesticate their funding base, and strategically manage the vertical and horizontal pull placed upon them. Each insight is now considered.

7.3.1 Distinctive behavioural traits

During the course of analysis it became apparent that the HG had the capacity to expose distinctive features of a CPO's conduct. To illustrate, coding for one case surfaced four key ways of working where the CPO valued efficiency, building relationships, flexibility and the cultivation of potential. By way of contrast, in a second case, the CPO emphasized values, self-development of the community, transparency and accountability, as well as the appreciation of diversity and individual voices. This finding implies that not only can the HG measure horizontality, as demonstrated above,

but it can also describe key features of behaviour. In doing so, it offers CPOs an additional layer of assessment information that can enhance OD.

7.3.2 Importance of the HG to civil society organizations (CSOs)

Feedback from the respondents showed that the potential value of the HG is not limited to CPOs. One respondent argued that, as more and more development organizations and donor agencies follow an asset-based approach to community development (ABCD) by focusing on mobilizing local assets, the need to adapt and track changes in practice will increase. She also observed that an increasing range of development stakeholders – communities, academics, evaluators and development organizations and consultants – seek spaces and instruments that can apply a critical lens to development (Respondent pilot case, 2013 November). As demonstrated previously, the HG undoubtedly gauges horizontality in a decisive, analytical way. The proposition that it could be used more broadly by CSOs will be discussed further in Chapter 8.

7.3.3 Donor demands

Respondents' identification of users for the HG, detailed earlier, emphasized the functions demanded by donors. They cited M&E, as well reporting all functions associated with a logical framework approach, as prevalent in the aid industry. This is not surprising. Undoubtedly a concern of donors is to keep track of and document contractually agreed upon deliverables and the use of financial resources against a planned budget. My experience as a development professional suggests that reporting on adherence to a set of developmental principles or approaches is not prioritised. It is not surprising then that, when given the chance in the member check, there was not a single case in which a CPO cited self-correction to bring its practice in line with its principles, (the intended use for the HG). Not one CPO declared the kind of gap between practice and aspiration that would be of interest to this study. As such, no case corroborated the Bernholtz findings (Bernholtz, Fulton & Kasper, 2005) that disjunctures between aspiration and practice were common and called for self-correction. This finding offers a challenge to the use of an OD lens in this study, a concern I will address in Chapter 8.

7.3.4 The domestication of financial partners

The characterization of CPOs, as well as respondents' discussions, suggest that the profile of the back donors who finance community grantmakers is changing. There is a marked diversity, as funders can be from the international aid system, for example, a mega-foundation based in the United States (US) such as that financed by Bill and Melinda Gates, or a European non-governmental organization (NGO), a South Africa-based corporation or a domestic business. No longer can we assume that the financial partner is foreign, as was the case when I began to work with CPOs in South Africa in 2003. Today, they can be supported by corporations, small businesses, as well as provincial government departments or the National Lottery. They are diversifying their income sources, and domestic financial partnerships are on the rise. Interestingly, such a trend could create problems for the juxtaposition of the vertical with the horizontal used in the philanthropic arc. This issue is discussed in Chapter 8.

7.3.5 The management of vertical and horizontal pulls

The respondents' interpretation of scores suggested that CPOs do in reality manage the effect that the tension between vertical and horizontal pulls has on their behaviour. In two of the five cases, as well as in the pilot, the member check confirmed the gauge as a device that allowed the respondents to realize how they blended horizontal and vertical elements in their behaviour. Through interpreting the gauge, for what appeared to be the first time, they articulated how they strategically managed the demands made on them by donor agencies. This is vital to their financial sustainability and credibility in the funding world and their relations with communities, and essential to their licence to operate legitimately in the eyes of those they serve. The respondents expressed the need to manage these demands in the following ways:

[The organization] is like a chameleon. We need to talk with the "big guns" [i.e. donors] but also speak to the bare feet development workers [communities]. (Respondent, Pilot Case, 2013 November)

So you actually have your gridline set and you know this is what your funder wants and you know exactly where your community pulls are. So, that is why you tend to deviate more away from the B's and rather going down to the C's, D's, and E's ... (Respondent, Case #2, 2014 March)

There are lots of systems and processes that we need to actually put in place as we are trying to be professional. At the same time we are struggling to still make the connection to the community and we're trying to juggle the two. So for me we are winning the battle. It is not so much that we are struggling, it is how do we actually marry the two and marry it exceptionally enough [so] that we are actually successful? (Respondent, Case #4, 2014 March)

The supposition that directionality is a function of a CPO's position as a middle broker or intermediary, managing both vertical and horizontal demands, has implications for a reconceptualizing of the theory of endogenous development that is addressed in the concluding chapter.

7.4 Summary

The primary objective of this chapter was to present and re-analyse the findings related to quantitative scores and use them to “calibrate” the HG in multiple ways. Is it sensitive to divergence among the respondents? Does it simply “make sense enough” to users, so that they have enough confidence to act on what they produce? This implied a further validation for the criteria of consistency (respondents understood the instrument in similar ways) and applicability (the instrument made sense across CPOs with a diverse range of characteristics). A secondary objective was to take analysis forward by casting back to the issues raised in Chapter 2.

In all five cases the HG gauged the vector of behaviour, and the respondents accepted its assessment. They found the gauge not only believable, but also useful, as well as an OD tool. They saw how it could add value to the other core functions demanded of them by donors. These include M & E, reporting and sharing of information, as well as capacity development. This suggests that the value of the HG is not restricted to the CPO but extends to stakeholders, including back donors, grantee partners and other CPOs. Analysis of all five cases revealed that no two cases were alike. Each of the CPOs had a distinct profile. This indicated that the HG could be used in a variety of CPO contexts.

The next chapter will further explore the implications of these findings. This is done in order to arrive at a final conclusion regarding confidence in the HG and to provide a final answer to the research question.

Chapter 8

CONCLUSION

8.1 Introduction

This concluding chapter answers the question: To what extent is the Horizontality Gauge (HG) a useful instrument to gauge or assess the organizational behaviour of a community philanthropy organization (CPO) in a horizontal or vertical direction? A systematic treatment of validation using a critical multi-level process and substance analysis enabled me to conclude positively that the HG satisfied the criteria of trustworthiness. This conclusion was reached by amalgamating discrete pieces of evidence generated by the validation framework, recorded in Chapters 5, 6 and 7. From this, I proposed that interested parties, among them scholars, donors and practitioners, could trust the HG to assess the directional trend of a CPO's behaviour. I then moved on to consider the relevance of the study. In doing so, I drew out broader implications for conceptual and practical contributions to community philanthropy, evaluation research, and evaluation in philanthropy.

8.2 Trustworthiness

This section gives an overview of the evidence for the validity of the HG, as presented throughout this study. It gives the empirical information required to reach a disciplined, reasoned conclusion that HG works for the purpose intended. Validity was interrogated in terms of the criteria of trustworthiness with its four indicators: truth value, applicability, consistency and neutrality. This meant that four sets of evidence needed to be examined. The following paragraphs focus on each of these in turn. Evidence is offered that confirms validity, though there is also evidence that elicits concern and uncertainty.

8.2.1 Truth value

Truth value concerns the believability of the scores. To determine this, I sought the respondents' assurance on the plausibility of the scores. My approach followed the arguments made by Lincoln and Guba (1985) and Patton (2008) that the opinion of the user on the scores is central to checking and heightening the validity of research. However, in keeping with the contention that, in considering the instrument itself, evidence beyond the scores was required (Adcock & Collier, 2001), I pursued additional evidence. Thus two types of evidence were used to interrogate the truth value of the HG: one related to the respondents' opinion on the scores, and the other to the quality of the instrument.

The measure of assurance showed that most of the respondents agreed with the scores and results of the HG. The vast majority (94%) of the comments from the member check contained statements that approved the scores. The narrative testing, however, showed a spectrum of confirmation that ranged from the emphatic, for example "17 in the middle, this is very correct" (Respondent, Case #1, 2014 March), to a more general endorsement, for instance "It reflects the way our practice is" (Respondent, Case #2, 2014 March). However, it was only when the comments included a positive judgment, drawing attention to an actual behaviour or practice, that confidence in the users' assessments was enhanced. Thus a rationale based on practice authenticated their opinions and added weight to the affirmative statements. This dual evidence found in the member check, combining a statement of affirmation and a judgement, reinforced assurance in the respondents' convictions.

It should be noted, however, that the member check was confined to the respondents. I did not invite or vet scores with other stakeholders or potential users of the data, such as financial donors or grantee partners, who might have had an opinion on the extent to which the scores reflected actual CPO behaviour. While the absence of additional judgements to corroborate the respondents' interpretation could in some studies have been a cause for concern, in this instance I do not believe that it was. Donors are arguably too far removed from the front line of practice to offer an informed answer based on their observations of CPO practice. Similarly, while the opinion of community members is considered important, a written individual paper and pencil exercise

provided by the HG may seem foreign to them, and arguably not the most appropriate and accessible instrument for them to use. This is not to say that community judgement of CPO behaviour is not critical. I agree with Bonbright, Christopherson and Ndiame (2015) that feedback from those whom development organizations serve is central. It can fundamentally alter both the organization and the community (Bonbright, Christopherson & Ndiame, 2015:1). This point calls for the consideration of an additional process of community feedback in the HG administration process. This could complement the scores of the HG, but would have to be designed with the community as its user group in mind.

While generating a judgement using a formal instrument such as the HG arguably lies outside the normal expectations of what community members are typically asked to do, it might still be argued that another method of assessment could be used to triangulate the respondents' assurance. For instance, one option could be corroboration with evidence from written materials, such as operational guidelines and protocols. Again, however, I argue that its usefulness would be limited.

A web scan of sites and direct inquiries made to organizations suggested that documentation on practice and protocol was neither standard nor consistent across CPOs. As a development professional, I observed that staff actions could be guided by personalities and experience (for a personal style) and not necessarily by formal protocols. People can act on the basis of what *feels right and works* in a particular circumstance, diverging from official procedures and prescriptions. While I did not consider the above triangulation methods useful for this study, I needed to factor in evidence related to instrument construction and administration in order to minimize data error. Indeed, it was necessary to reinforce and substantiate the proposition that the truth value of the HG scores was high. I now review these additional indications.

Instrument design and data collection seek to minimize possible errors in two specific ways. Firstly, a collective voice was used. The aggregation of individual questionnaires for an organizational-level assessment offered a compounded voice, such that multiple views were factored into the overall scoring. The final assessment was a general or overall view. This technique ensured that no single voice or view dominated the results. Next, six conditions were used to reduce the chance of a response being steered in a

preferred or favoured direction, that is, to minimize “social desirability” (Podsakoff, MacKenzie & Lee, 2003:881), with respondents giving what they feel is the socially favoured answer, so as to be agreeable and accepted. The first condition was anonymity. A score could not be attributed to any single individual, since I was combining them to produce a composite perspective and organizational view of behaviour. This allowed respondents to express their own opinions without fear of reprisal. The second condition was neutrality. Using an alpha scale A to E avoided any implication of hierarchy or progression that a numeric 1-to-5 scale might suggest. This provided a check on any implicit indication of the best or better score. The third condition was that questions were worded in phrases that acknowledged a possible spectrum of behaviour. For example, the question on the organization’s behaviour that included “more like this or more like that” reflected my effort to avoid any suggestion of a correct or desired response. Within this range of possible answers, the respondents were free to select a score. The fourth condition involved making my intention as a researcher explicit. While administering the HG, I told the respondents that my interest was in instrumentation. I made it clear that the aim of administering the HG was to assess whether it could perform as it was intended. It was not to assess how well the organization in question performed in its own right or in comparison with other CPOs. The content of the scores – vertical or horizontal – was not the focus of my attention. Given this proviso, the respondents could respond openly without fear of negatively prejudicing the score. In the future, however, my intention might not always be assured. It could be influenced, for example, by good practice spelt out in a facilitation guide. For this study, however, it was not a structural feature of the questionnaire. The fifth condition was the requirement that respondents give an actual example of CPO behaviour to substantiate their scores. This demanded a considered assessment, rather than one based on aspiration or impulse. It was in this context that a well thought-out score could be generated. Finally, allowance was made for non-response. The respondent could declare that he or she did not know or was not able or qualified to answer the question. This reduced the likelihood that a score was based on assumption or aspiration.

These conditions served to minimize error and ensure high quality data. To buttress the case for truth value, however, I called upon the member check data concerned with reducing abstraction and guarding against weak or thin coverage of the topic.

As discussed previously, the problem of abstraction – the idea of philanthropy of community (PoC) being too vague or woolly for respondents – and the possibility of coverage of the construct of directionality being weak were both dealt with. The former was done through combining PoC dimensions with Porras and Hoffer's four elements of an organization into a 20-cell matrix offering 20 possible combinations of behaviour. This gave a high degree of dimensionality as each of the four elements of an organization was interrogated five times – that is, by the five dimensions of PoC. Thus, to ensure a thorough interrogation, five questions were asked about each behavioural element.

The above evidence made a strong case for truth value. The scores were approved by the respondents, and efforts were taken to minimize data error and ensure a high degree of dimensionality. To establish trustworthiness, however, other forms of critical assessment were needed. The next section considers the extent to which the HG met the assessment criteria relating to applicability.

8.2.2 Applicability

Applicability concerns whether the HG could be used in other research contexts and with other respondents. Was its use restricted to this particular study, or could it be used more broadly? In order to show that the HG is in fact, versatile and could be relevant in different contexts, it was critical that the cases in this study were quite diverse (that is, not all the same).

The classification of the five CPO cases against 14 features exposed variations when I took their characteristics into consideration. The evidence showed that the five CPOs were dissimilar. When this fact was connected with the tendency and distribution data – which confirmed that all CPOs were able to gauge horizontality – it was reasonable to deduce that use of the HG could be generalized to the full spectrum of CPOs that are likely to be found.

Expanding on this point and to make the case stronger, I argued that the CPOs involved in this study presented a true likeness of the diversity one was likely to find in the CPO community, not only in South Africa but in the eastern and southern African regions as well. This suggested that the HG had application beyond the five Western Cape CPOs involved in the study. Jenny Hodgson, Director of the Global Fund for Community Foundations) substantiates this proposition.⁷⁴ She confirms that the Global Fund for Community Foundations carried out a research exercise globally to learn about its membership. From the findings, she drew a similar conclusion about diversity in the features of community foundations and similar organizations⁷⁵.

To sum up the above argument, the HG meets the criteria of applicability based on evidence, suggesting it could be used across a diverse range of CPOs. Taking this idea further, some respondents suggested that the HG should not be restricted to the CPO community, imagining its relevance more broadly to civil society organizations (CSOs). Having established that the HG satisfies the second critical criterion of trustworthiness, that of applicability, I now consider the third criterion, that of consistency.

8.2.3 Consistency

Consistency requires evidence to show that, were the study to be repeated, the results would be the same. The joining of individual Likert scale scores to generate an organizational inference or compiled score suggests that in future the same respondents, faced with the same 20 questions and using the HG in the same organization (barring a significant change in circumstances such as a new organizational strategy) would generate a similar gauge.

The process of aggregating the scores would show a high degree of reliability on two fronts. Firstly, the individual-level data for all 20 questions in the questionnaire was

⁷⁴ Hodgson, telephonic interview, 2015 January 21.

⁷⁵ However, to fulfil the Global Fund for Community Foundations' desire to create a sector that is cohesive, unity rather than diversity is promoted. This resulted in the development of a unifying framework based on common aims and objectives, distinguishing community philanthropy from other components of civil society, rather than focusing on structural features that pick up on the diverse face of CPOs. Captured in *Snapshot of the global field: the Community Foundation Atlas* (Global Fund for Community Foundations, 2014), the shared characteristics include the following: (i) the development of local assets, (ii) strengthening the capacities of the community they serve, and (iii) building trust by being accountable to local people.

based on evidence. Respondents and scores at the individual level, on a five-point Likert Scale, were neither indiscriminate nor random but rather intentional. They were motivated by a written narrative description of a particular behaviour. It was this illustration that informed and substantiated the allocated score. Secondly, at the aggregated level, the inference had a relatively high level of stability, as it was derived from a combined or group perspective. If the questionnaire were re-administered and, for example, one of a total of four respondents selected a different behaviour in response to a question and this resulted in a different numeric score, this deviation in weighting would be only a quarter change. This implies that the use of a group context, drawing on as many members of the organization who are qualified to respond to do so, can be used to manage the impact or weighting of any deviation in a response from any single respondent. In summary, the reliability of the gauge is supported by aggregating multiple individual-level scores for an organizational inference, such that any individual deviation is minor, relative to the whole, and does not skew the weighting dramatically. Having established truth value, applicability and consistency, all that remains to establish trustworthiness is to turn our attention to the fourth criterion, namely neutrality.

8.2.4 Neutrality

Neutrality concerns the extent to which the scores reflect the researcher's bias or the genuine view of respondents. Sampling and selecting the respondents showed that the individual questionnaires were completed by a complement of staff members who were qualified to comment on the organization's behaviour towards to the grantee partner and/or community. Thus the selection process was inclusive, ensuring that the respondents held different positions in the organization and, based on this, presumably different perspectives. Multiple voices and perspectives informed the aggregated Likert scores. This implied that Scriver's notion of "quantitative objectivity" (Lincoln & Guba, 1985) was satisfied. This holds that the idea or experience of one individual is subjective, while that of a number of individuals is more objective. The technique of hearing multiple voices ensured that a particular voice was not favoured. No particular, individual voice – for example that of the executive director (ED) – had a greater advantage in representation than that, say, of a grant administrator. Member check

feedback from three CPOs, quoted below, confirmed that different voices were heard around the table and different perspectives captured. In one case a respondent noted that, not only did people occupy different positions but the opinions of both long-standing staff members and newer ones were also captured.

It's amazing how it [the HG] picks up the majority thinking. Yes, I was going to say that. No, I think we are actually happy to see that. Because also, there is a mix of older staff and newer staff around the table, and so it means the newer staff, the way they get orientated into our values, we are kind of saying the same thing to each other, which is good to see. For me, the interesting thing is this is a grant making model. Some are in communication, some are in fund raising, but it's a culture that goes across different programmes and different staff members. (Respondent, Case # 3, 2014 March)

In another case attention was drawn to perceptions being formed on the basis of how one is located within the organization:

Yes, it's very interesting, because it's where you are placed in the organization and what your task is that determines your view. What it shows me is that as we are sitting around the table, it's about perceptions and where you are placed. So if you are a very formal person and very into structures, it will come out here, so that's also very interesting for me. (Respondent, Case #2, 2014 March).

The use of a Likert scale from A to E, as argued previously, was designed to minimize any inherent hierarchy. This removed from the reckoning any bias that I as the researcher might have had towards a horizontal or vertical score. Indeed, the member check affirmed that the scale and its supporting questions as phrased did not prompt any particular response. Reflections from one CPO showed strongly that the line of questioning and the wording were effective:

The tool flowed – we didn't worry; we just kept answering the questions. We did not stress about the answer, that is, I just went where it took me. The questions are not designed in a way that you ask, what is the right answer? I didn't know what you expected. (Respondent, Case #1, 2014 March)

The conclusion that the criteria for neutrality were satisfied confirmed that the HG satisfied all four indicators of truthfulness.

8.2.5 Limitations

Three factors, however, qualified the above assessment. They are firstly the use and visual representation of numeric data, secondly confinement of data verification to the opinion of the respondents (i.e. CPO staff) and thirdly concerns related to my own insider status in this inquiry. While they did not alter the overall deduction that the HG had a high degree of validity, they did temper it to a degree. These three factors were the following: use of mixed methods and visual representation, unidirectional assessment, and my own insider status.

Use of mixed methods and visual representation

The discussion in one case paid attention to the use of numbers. The comments below signal that numerical data was appreciated:

Yes, I like the numbers, (Respondent, Case #2, 2014 March)

The numbers work for me because I can clearly see how, where, and the value attached to that. For me it's kind of like a clear picture. (Respondent, Case #2, 2014 March)

Further comments drawn from CPO transcripts point favourably to the combination of numbers and narrative data, confirming the value of mixed methods to the generation of quality data:

The numbers are almost a cop out; it's an easier way out – you just circle B and you're done, but then you have to start writing why you're saying B, and then you have to really reflect and think about why you're saying it. But I think it worked well. For me it worked because it gave me something definite to think about in terms of the narrative. So, if I were to say C, which is on the fence in my opinion, or it's both, then why are you saying it's both? Illustrate, or give me an example. So, it helped. (Respondent, Case #2, 2014 March)

It (the instrument) challenged us to think about what is honestly going on, having to say why and give an illustration reinforced this. I had to decide "what I think" and then ask, "Is it true? What is really going on?" (Respondent, Case #1, 2014 March)

When I see A's and B's and C's and D's and numbers, then I always say that's not going to tell the whole story, but you had the narrative side to it, so that's okay. That's cool, but I think with the quantitative stuff, it's actually a

good thing to play with when we have to report to donors who want both.”
(Respondent, Case #3, 2014 March)

However, not everyone found the use of quantitative data and its presentation on the arc as a visual gauge helpful. A respondent from one of the cases was explicit about difficulties in reading the scores:

I looked for big differences in numbers, and here’s a 14 and on that side is a 2. I don’t really know what it means. Maybe you can explain it to me? ... What does it mean though? I can’t see how to read the extremes. I’m trying to figure out and explain what I see. Maybe this is just a true reflection of what it is. The only thing is that I’m not quite sure I understand... Yes, I think more or less it gives a realistic picture. (Respondent, Case #3, 2014 March)

A respondent from another case highlighted a broader concern – the scoring system. The connection between the questionnaire scores and the numbers and their presentation on the arc created confusion. This disconnect left them at a loss as to how to find meaning in the data:

When we interpret this, what questions do we ask of ourselves? How do we know what relates to what? That is, how did Susan get her A, B, C, D and E’s – how was our scoring and then how could this actually relate to this arc? (Respondent, Case #5, 2014 March)

The indication that some people found it challenging to interpret the arc, motivated me in the course of testing to offer respondents a systematic way to read the arc. Where warranted, I guided them, suggesting that they look at extremes, that is, the figures that stood out to them first. I invited them to look first at high or low scores, and then to examine the other scores. My aim was to offer them a starting point and a systematic way of working through the scores.

Unidirectional assessment

The HG as a self-assessment tool was confined to the judgement of CPO members. While different voices were heard, they remained those of the people in the organization. Notwithstanding the reservation about the appropriateness of the HG as the tool for seeking assessment of grantee partners, there is still scope in the future to come up with a 360-degree feedback mechanism involving grantee partners – one that would offer another source of judgement on CPO behaviour. This could take the form

of a customized tool or process for getting community feedback on what people think about the work of the CPO that supports them (Bonbright, Christopherson & Ndiame, 2015).

Insider status

This was the third factor that tempered my conclusion. As declared, I came to this study as an insider. This aided my access and entry to CPOs and helped to inform the design of the instrument. However, I felt that this status could also militate against the respondents being overtly critical of my work. Familiarity could translate into a desire not to offend. The quotations below are complimentary about the tool, but also give an accolade to the researcher; indeed they could be contrived:

What I really find quite profound is the fact that in four hours we could establish an outcome that we probably would have done in a week's time if we had gone into a review. But in four hours, it was just so simple, and how light it is just to get to the answer. It shows how effective your tool actually is. (Respondent, Case #3, 2014 March)

Another respondent in the same organization spoke to its power in the following way:

Well, just thank you. I mean, this is a really cool model, and it really shows that we are on the right path. We are really walking the talk. We are doing what we are supposed to be doing, and what we said we are doing. (Respondent, Case #3, 2014 March)

8.2.6 Conclusion

Despite these reservations about the use of mixed methods, my insider status and the fact that assessment of behaviour was limited to the organization's own perspective, this chapter offered reasonable grounds on the basis of the criteria of truthfulness to conclude that the HG achieved what it set out to do. By relying on PoC theory, it allows for an adequate and confident assessment of the directionality of a CPO's behaviour toward grantee partners, using quantitative and qualitative data as well as endogenous indicators. With the research question of the study answered, attention now turns to its contribution to concepts and practice.

8.3 Extending closure

Given that as an instrument the HG is seen to work, the question arises as to where it might lead, both conceptually and practically. The closing reflections should be treated as speculations, rather than any form of predictive programme.

8.3.1 Conceptual contributions

The study explored both refining the concept and extending the practical application of PoC theory, *inter alia*, as a pathway to reinvigorating debate about the neglect of endogeneity in an unfolding, post-2015 development era. As alluded to in Chapter 2, there is a need to make good on self-imposed and poorly respected principles of local ownership and show a practical regard for what is happening in the daily reality of people's initiatives to survive and advance.

This was done through (1) the use and adaptation of an existing conceptual framework – the philanthropic arc, (2) testing the juxtaposition of vertical and horizontal philanthropy, and (3) introducing and exploring a new combination of five elements of PoC with four elements of an organization's behaviour. To keep conceptual advances in focus, the feedback loop in the validation framework made provision for reflection on what the evidence revealed for the refinement of the substantive concept of PoC that underpinned the instrument. Among the results were three conceptual developments.

Firstly, as a point of departure, I set out to innovatively fill an evaluation research gap by developing indicators to assess endogeneity that did not involve active, highly technical or specialist debates about evaluation methods. I did so by connecting categories of endogeneity with an organizational perspective. I tested this construction in five organizations and collected viable data. It was now possible to intellectualize PoC in terms of a CPO's behaviour. Prior to this, it was only possible to use PoC theory to appreciate the giving behaviour of people in poor African communities. Now it can be used to understand the behaviour of the community philanthropy bodies that work to serve these communities.

Secondly, the five dimensions of vertical philanthropy used in this research were based on stereotypical features of the international aid system. The findings revealed that to

use this classification could potentially be problematic in the case of South Africa. This is due to the broader trend toward diversification and domestication of funders (Severino & Ray, 2010) as developing countries “graduate” to middle-income status and shift from foreign aid to trade (Directorate General of International Cooperation, 2013).

This movement affects the population of the vertical axis on the philanthropic and behaviour arcs based on international aid, calling for further research to analyse and characterize the behaviours of domestic donors. If these are sufficiently distinct from those of the international aid system, the vertical axis would require revision. This opens up the possibility of expanding conceptualization of the vertical and its juxtaposition with the horizontal. This could result in a revised set of indicators or even multiple sets, customized to the donor landscape in particular settings.

Thirdly, the extant research, as previously noted, suggests that vertical and horizontal philanthropy can in fact be blended, so that a CPO can – and should – exhibit characteristics of both (Wilkinson-Maposa & Fowler, 2009). However, it did not rationalize or explain this process. Now, however, it is possible to say more about this phenomenon, to suggest that it is a strategic response to the intermediary status of a CPO, located between the donor and the community it serves. To sustain its credibility, a CPO must address donor demands, yet simultaneously, to secure its legitimacy and licence to operate, must not only cater to but also embody community needs in its own behaviour. Thus CPOs draw on both characteristics as a way of appeasing and managing these tensions – symbolized in the upward pulls to the vertical and downward pulls to the horizontal (Wilkinson-Maposa & Fowler, 2009:9). It is now possible to understand blending as a strategic response to the management of upward and downward forces with which CPOs contend.

Having addressed the feedback loop to determine the ways in which this study has sharpened PoC theory and its application, I now turn to the practical contributions it has made.

8.3.2 Practical contributions

The study addressed a practical problem – one more urgent in community philanthropy than in other types of funding entities, such as bilateral aid donors, which do not claim to be *of* the community– namely that of bridging the practice-aspiration gap as a new contribution to organizational development (OD). To do so, it developed and tested the HG as an evaluation research instrument for assessing endogeneity. It expanded and adapted an existing framework for instrument validation. The three practical contributions – to OD, validation in mixed methods research (MMR) and evaluation in philanthropy – are considered below.

Contribution to OD

The application of PoC theory resulted in a tangible instrument that does, in fact, assess horizontality. Belonging to an evaluation tradition, it was added to the CPO toolkit through a process of testing with five cases. This meant that five CPOs (six including the pilot) had in their possession self-reflective data on the horizontality of their behaviour. While it was beyond the scope of this study to facilitate an organizational self-improvement session or follow up to track the uptake of the instrument for self-correction and organizational improvement, its practical impact is worth reflection and speculation. However, a relevant question in this final chapter concerns the likelihood that CPOs will directly apply the results of the gauge.

Since not one of the five CPO cases interpreted the gauge to suggest a dysfunctional chasm between aspiration and practice, this indicated the unlikelihood of CPOs embarking upon a self-correction process. The fact that they did not corroborate the findings of Bernholtz, Fulton and Kasper (2005)⁷⁶ of a disjuncture between building the organization and building the community, the implication, at least at face value, is that such a disconnect does not exist to a critical degree in South Africa. The findings from a community foundation study in the United States (US) are not essentially transferable. However, I exercise caution in drawing this conclusion without further consideration.

Alternatively, I posit that adherence to the development principle of endogeneity as a sustainability strategy is simply not happening. In South Africa, measuring adherence to

⁷⁶ Detailed in Chapter 2.

the endogeny principle is not a priority, neither as a point of departure nor as a discussion. Donors do not explicitly ask CPOs to provide evidence that they place community at the centre of their practice or that they do, in fact, build community⁷⁷. While donors do not ask for it, it is substantiated by the utility analysis. It emphasizes reporting, peer sharing and evaluation, all tasks encouraged and/or required by donors⁷⁸. Satisfaction of donor requirements or interests appears to be the reference point that local CPOs apply when reflecting on uses for the data. The focus on reporting and evaluation indicates upward accountability to the donor, while sharing implies sideways distribution to other CPOs. This second point is, in effect, another way of being answerable to donors. This is because sharing among organizations (for example through peer learning) is one way to promote learning and networking for the purpose of building the sector. Its growth and expansion is a focus area or agenda item for advocacy efforts for two of the leading international funders supporting community philanthropy in South Africa⁷⁹.

The above projection, that the evaluative data generated by the HG is unlikely to be used as originally envisaged, that is, for self-correction, is a disappointment yet not unusual. Rossi and Freeman (1989) contend that, while the first prize in evaluation is the direct or applied use of the findings, this seldom happens. Typically, the results of evaluation are not used. However, in this study, the respondents' perceptions of utility in the evaluative data contained 13 proposed uses other than that which I had in mind. The conclusion is that the gauge is likely to be used, but in ways which I did not anticipate at the outset of my research.

⁷⁷ This is not surprising, given measurement challenges related to growing and strengthening communities. In addition to issues of attribution, other issues include challenges related to the measurement of, for example, empowerment and trust building.

⁷⁸ To illustrate, my participation as a member of the advisory committee of the midterm evaluation of the Charles Stewart Mott Foundation in South Africa's community philanthropy programme suggests that this international NGO, a leader in support to community philanthropy, provides general support grants. These grants encourage CPOs to innovate, engage in peer learning (for example, participate in networks and forums), articulate their own strategies and report on these.

⁷⁹ Establishing the field of community philanthropy is an explicit concern and point of advocacy for both the Global Fund for Community Foundations and the Charles Stewart Mott Foundation.

Contribution to validation methodology in MMR

For this study, I took an existing framework and expanded it. In doing so, I demonstrated that Lutz's framework was flexible, allowing for customization. This bodes well for its adaption and adoption in others' studies. I found that its systematic nature and structure offered an architecture that could be expanded or contracted, depending on the study in hand. As a reminder in this case, I added two new dimensions to emphasize important areas in my investigation – formative knowledge to capture my insider status and a more detailed section on the steps and processes involved in developing the instrument. The capacity to be flexible and adjust is arguably a worthy quality in an emerging field that is growing through experimentation and experience. Moreover, I was aware, as previously noted, of two studies to which the Lutz framework had been applied. Their use in this study generated a third empirical case. This added to the utility and credibility of the instrument.

Contribution to evaluation

This study addressed a gap related to measuring endogeny from the perspective of organizational behaviour. In doing so, it took on a task that empirical studies, as noted previously⁸⁰, had not challenged. However, this contribution is qualified. Given the newness of the instrument, external and widespread take-up would be premature. In particular, “expert critical reviews” (Rossi and Freeman, 1989:98) and interrogation and assessment by others have yet to take place.

Furthermore, the HG looks forward to the next generation of evaluation in philanthropy, as previously discussed⁸¹. It complies with predicted trends and demonstrates how they can be put into operation in an instrument. Of note, the HG focuses on the organization overall and not on individual grants. Furthermore, it adopts a learning and self-correction orientation that is about the future, not the past. In addition, it concerns the immediate generation of data (for real-time learning), represents data visually, and places the assessment process in the collective hands of an organization's members. This is a marked departure from the more conventional focus on measuring the impact

⁸⁰ See Chapter 2.

⁸¹ See Chapter 2.

of grants in order to assess past performance, on upward accountability or on donor reporting, with the evaluation carried out by external assessors.

In addition, the HG has the potential to engage in shared measurement. This involves organizations collectively deciding to pursue an area of inquiry, deciding the indicators to be used and the outcomes to be achieved. In the first instance, the HG can contribute to this agenda via reflection by those in the sector on when and how to take the HG to scale. It can also use the HG to trigger related inquiries. For example, this could include the development of complementary 360-degree instruments that would give both donors and communities the chance to provide feedback on CPO behaviour. If a collective and uniform set of indicators and questions were established, it would be possible to generate feedback that would not only be useful at an organizational level but would grow the field for greater insight into issues of community strengthening, a concern that, as previously noted⁸², is forefront in the agenda of international foundations that advocate community philanthropy in South Africa. In particular, aspects of the community philanthropy model and its practice, both those that are agreeable to communities and those to which they object, will be open to suggestions for improvement.

8.4 Final remarks

This study of the measurement of endogeneity, drawing on the case of CPOs in South Africa, concerned the development, field testing and validation of a mixed-methods research instrument, the HG. Using a disciplined inquiry, I scrutinized the instrument in the framework of a five-level validation. Against this interrogation and the amalgamated evidence, the HG satisfied the validation criterion of trustworthiness. From diverse sources of evidence and judgements on the various steps of the research process, I concluded that the HG had a high degree of truth value, applicability, consistency and neutrality. This conclusion, however, was qualified by noteworthy reservations and concerns that suggested areas for refinement. These were related to the conceptualization of the vertical, the ease with which respondents could interpret the data captured on the behaviour arc, and the use of the data for self-correction at the

⁸² See Chapter 1.

organizational level. Following the validation process, however, I submit that stakeholders – including CPOs, donors and researchers – could use the HG with confidence.

As noted previously, when work on this thesis began and then evolved, I was committed to addressing a gap in evaluation research through the development and testing of the HG. In doing so my interest was always to determine and demonstrate how to apply theory to practice, as well as to contribute, albeit in a modest way, to ongoing efforts to build the field of community philanthropy in South Africa. Moving from theory to practice is a process I have been engaged in for a decade. This study links the world of concepts and ideas to that of practice from an organizational perspective. Organizations can now take indigenous helping systems and use them as a filter or analytical category to reflect on themselves and their own behaviour. This is made possible through combining PoC theory and organizational theory related to the elements of an organization.

If adopted by leading donor agencies and/or CPO networks and taken to scale, the HG has the potential and promise to go beyond the consideration of an individual organization for a broader appreciation of the community philanthropy model. Sector-wide sharing and analysis of HG data could be used to determine the extent to which endogenous development is on the rise or declining. Furthermore, there is potential to facilitate a donor and CPO conversation regarding power dynamics. This could focus on the ways in which vertical and horizontal pulls are managed and the potential impact this could have on the community philanthropy model and its contributions to endogenous-sensitive development. This attention to power and the accountability of donors to the implications of their demands on development organizations and their impact on development in general is critical. It takes us back to the root of the endogenous development problem – the tendency for donor agencies to exercise their power and to adhere to their own favoured ways of working.

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Appendix 1

Behaviour Profile – Individual Questionnaire

For completion by participating members and staff
of Community Philanthropy Organizations

Introducing the exercise:

Take the time necessary to complete this exercise and, when finished, hand me your questionnaire. I will then check it quickly to make sure it is complete.

This exercise gives you the chance to about how your organization behaves and registers your opinion about these behaviours. You will do this by giving it a score, explaining why you have scored it this way, and finally supporting this decision with a live example or illustration.

I am interested in your real-life experiences of actual times and moments in the existence of the organization. I am looking for your own view and perspective, given what you experience and observe in your role in the organization.

In short, I am interested in your unique perspective on the following question:

How does your organization behave with respect to the grantee partners / communities that you serve and support?

Your Task:

So that I can learn and understand what you think, this questionnaire is divided into four sections. Each section looks at a distinct element of organizational behaviour. Section 1 focuses on *organising arrangements*, section 2 on *social factors*, section 3 on *technical know-how* and section 4 on *physical location and setting*. What I mean by each element is detailed at the beginning of each section.

Your task is to read the five questions in each section. The questions ask you to decide whether the way your organization behaves is “*more like this*” or “*more like that*”. These two extremes in behaviour are captured on a five-point scale that uses letters A, B, C, D and E) and is located below each question. If you cannot answer (i.e. do not know) then “opt out” from answering by circling the letter “X”. Decide which letter on the scale best suits your viewpoint and circle it.

Then, in the space provided:

- Tell me why you scored the question the way you did, and
- Give me an example that illustrates this behaviour.

If you have any questions and want me to clarify the instructions, just ask.

You are now ready to complete the questionnaire.

Participant Information	
Name:	Organization:
Job Title:	Date:

SECTION 1: ORGANISING ARRANGEMENTS

This section focuses on formal processes and systems of measurement. It asks you to think about how the organization coordinates and controls what it does.

Included here are the organization’s vision, mission, strategy, management information systems, as well as administrative structures, policies and procedures.

Question 1.1

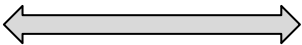
To what extent does your organization support grantee partners/communities that:

- are like us – closely mirroring our own programmes, priorities and favoured way of working.

OR

- are themselves – clearly expressing their own focus, priorities and ways of working.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Are like us	A	B	C	D	E	Are themselves	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 1.2

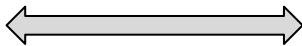
To what extent does your organization:

- rely on a call for proposals in order to find grantee partners/communities

OR

- rely on networks and peer groups working with your target audience to identify suitable grantee partners/communities that need support.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Call for proposals	A	B	C	D	E	Networks & peers	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 1.3

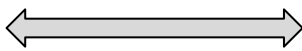
To what extent does your organization measure (assess) the effect of a grant in terms of:

- strengthening the capacity for self-development – i.e. the ability to find longer term solutions to a problem

OR

- supporting the capacity for survival – i.e. the ability to reduce immediate hardships and prevent things from getting worse.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Self-development	A	B	C	D	E	Survival	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 1.4


To what extent is your organization’s agreement with a grantee partner/community:

- official and legal – a contract providing direction as well as terms and conditions

OR

- a loose but binding understanding or social agreement laying out guidelines and expectations.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Legal contract	A	B	C	D	E	Binding understanding	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 1.5

To what extent does the organization’s governance structure and system of decision making give priority to:

- satisfying internal demands, policies and strategy

OR

- acting in solidarity with the demands, ways of working, strategies and approaches favoured by grantee partners/communities.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Internal demands	A	B	C	D	E	Solidarity	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

SECTION 2: SOCIAL FACTORS

This section focuses on the human side of the organization. It asks you to think about the informal social systems that make up the organization's culture.

It includes the 1) values, norms and rituals that your organization holds; 2) informal networks of communication; 3) leadership, decision making and learning; 4) interpersonal, group and inter-group processes, and finally 5) attitudes, beliefs and behavioural skills.

Question 2.1

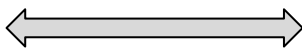
To what extent does your pro support grantee partners/communities that:

- have capacity: i.e. demonstrate the ability to implement projects and activities

OR

- are worthy: i.e. have a legitimate need or opportunity that should be supported

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Have capacity	A	B	C	D	E	Are worthy	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 2.2


To what extent do your organization’s interactions with grantee partners/ communities focus on:

- determining whether you can help them or not

OR

- determining who else can address their needs linking them up for support (i.e. referrals).

Please circle the letter on the scale below that best represents where you believe the organization sits between the two extremes.

							Unable to answer
Help or not	A	B	C	D	E	Referrals	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 2.3


To what extent do the conversations and questions between your organization and the grantee partner/community:

- concentrate on economic advancement

OR

- concentrate on social cohesion, solidarity and inclusiveness.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Economic development	A	B	C	D	E	Social cohesion	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 2.4


To what extent is the way your organization engages with the grantee partner/community based on:

- accountability - making the partner account to you for what they do with the grant support against what was planned

OR

- trust and two way feedback about what is working and what in the grant needs to shift in response to changes in the situation or needs on the ground.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Accountability	A	B	C	D	E	Two-way feedback	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 2.5

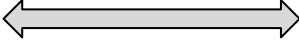
To what extent does your organization’s engagement with the grantee partner/community:

- rely on the roles, skills and energies of a capable individual or leader

OR

- rely on the roles, energy and aspirations of a group of people pulling together.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Capable individual	A	B	C	D	E	Group energy	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

SECTION 3: TECHNICAL KNOW-HOW

This section focuses on the nuts and bolts of how the organization delivers its products and services. It asks you to think about the factors that turn inputs into outputs. It covers the models and practices you use, workflow, procedures and systems as well as the skills and abilities of staff, board members and volunteers.

Question 3.1

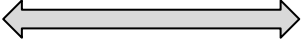
To what extent do the grants awarded to grantee partners/communities by your organization:

- “buy” the support and participation of grantee partners/community to participate in your project

OR

- “invest” in a particular grantee partner/community’s own project or initiative.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
“Buy”	A	B	C	D	E	“Invest”	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 3.2

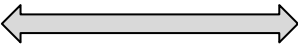
To what extent does the type, size, quality or scope of products and services provided by your organization to grantee partners/community:

- provide them with a prescribed or recommended product, service or model that your organization specialises in

OR

- provide a customised product, service or model by turning to and teaming up with others who may be able to help provide what is needed.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Prescribed product or service	A	B	C	D	E	Customised product or service	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 3.3


To what extent do the inputs and activities that your organization provides a grantee partner/community:

- focus on creating a “better future” – by tackling systemic and structural issues in society or systems that holds a grantee partner/community back from moving forward

OR

- focus on facilitating a “better now” – finding a solution or remedy to immediate barriers preventing a grantee partner/community from addressing their current needs.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Better future	A	B	C	D	E	Better now	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 3.4

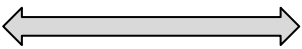
To what extent are the decisions regarding support for a grantee partner/community determined by:

- What your organization has predetermined to be available (e.g. a specific package of support or a standard grant source and time frame)

OR

- The desire to customise help however you can – regardless of the level of support.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Predetermined	A	B	C	D	E	Customised help	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 3.5

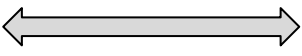
To what extent does your organization:

- assume* that the grant has caused ‘*no harm*’ to a grouping or community

OR

- make sure* that the grant has been for the “good or benefit of all”.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Assume no harm	A	B	C	D	E	Benefit of all	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum explain your decision and then illustrate this with an example.

SECTION 4: PHYSICAL SETTING

This section is interested in location, environment and ambiance.

It covers physical resources and setting and is interested in the location of your offices, the physical ambiance and accessibility of the premises, in relationship to those you serve and support.

Question 4.1


To what extent does the location of your organization:

- minimise costs to yourself

OR

- minimise costs to the grantee partner/community.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Cost to self	A	B	C	D	E	Cost to grantee partners	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 4.2


To what extent are your organization’s offices:

- located away from – (i.e. separate from) other service providers and support organizations space

OR

- located near – i.e. with other service providers and support organizations.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Located away from others	A	B	C	D	E	Located near others	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 4.3

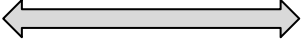
To what extent does the physical space and conditions of your offices and other facilities

- stress the distinct identify and character of your organization as a donor and support organization

OR

- stress belonging to the environment (community, culture and context) in which your organization works?

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
District identity	A	B	C	D	E	Belonging to the environment	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 4.4

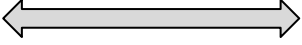
To what extent does the decor in your organization’s facilities:

- reflect the organizational personality of a funder

OR

- reflect the organizational personality of a “friend and neighbour”.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Funder personality	A	B	C	D	E	Friend & neighbour	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Question 4.5

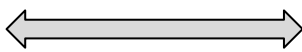
To what extent does the atmosphere in your organization:

- present members/staff as separate from those being served – somehow superior

OR

- present members/staff as close to those being served – equal and belonging to the same community or area.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Separate	A	B	C	D	E	Close to	X

Now that you have chosen an alphabetical letter to locate yourself on the continuum, explain your decision and then illustrate this with an example.

Appendix 2

Compilation Questionnaire – A Completed Example

For Use by the Facilitator

Name of CPO: EXAMPLE	Date of Data Collection: 31 March 2014		
Compiled by: Researcher	Number of Surveys Completed: 10		
<p>Viewpoints represented:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> board members <input type="checkbox"/> executive director (1) <input type="checkbox"/> programme director <input type="checkbox"/> grant manager (3) </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> grant administrator (2) <input type="checkbox"/> volunteer <input type="checkbox"/> other (4): (specify):operations officer, M&E officer & interns </td> </tr> </table>		<input type="checkbox"/> board members <input type="checkbox"/> executive director (1) <input type="checkbox"/> programme director <input type="checkbox"/> grant manager (3)	<input type="checkbox"/> grant administrator (2) <input type="checkbox"/> volunteer <input type="checkbox"/> other (4): (specify):operations officer, M&E officer & interns
<input type="checkbox"/> board members <input type="checkbox"/> executive director (1) <input type="checkbox"/> programme director <input type="checkbox"/> grant manager (3)	<input type="checkbox"/> grant administrator (2) <input type="checkbox"/> volunteer <input type="checkbox"/> other (4): (specify):operations officer, M&E officer & interns		
<p>Comments: <i>In this section, note anything that strikes you during the process of compilation. For example: incomplete questionnaires, concerns about quality or patterns and trends you are picking up on.</i></p>			

SECTION 1: ORGANISING ARRANGEMENTS

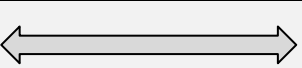
This section focuses on formal processes and systems of measurement. It asks you to think about how the organization coordinates and controls what it does.

Included here are the organization's vision, mission, strategy, management information systems, as well as administrative structures, policies and procedures.

Question 1.1

To what extent does your organization support grantee partners/communities that are like us – closely mirroring our own programmes, priorities and favoured way of working OR are themselves – clearly expressing their own focus, priorities and ways of working.

On the scale below record the number of scores given to each letter in the box immediately below it.

							Unable to answer
Are like us	A	B	C	D	E	Are themselves	X
		1	2	6	1		

Document the reasons given for each letter score:

Reason for A

Reason for B

- We are a women's organization. That means we give grants to organizations that support women.

Reason for C

- It is a bit of both. We want grantees to focus on our thematic areas and we also want them to do things in the best way possible for them.
- The organization has clearly set out thematic areas under which our grantees fall. However, the way in which they choose to express a particular thematic area is up to them, e.g. one of our thematic areas of focus is sustainable income. However, the types of work which any grantee does in order to generate this income is not prescribed by the organization. All we require is that the organization be women-led.

Reason for D

- The organization doesn't want to tell their grantees how to be and how to work, but they require that the grantees fulfil certain feminist criteria, e.g. that they have to be women-led.
- Where grantees are like us, is in the sense that they should be women-led. Other than that, we believe that and know the problems they face, and have the ability to organise themselves.
- This organization awards grants to grantees, therefore we have very little influence on their ways of working in the community. However, we can promote their works at our various functions.
- Our grant-making is based on the needs and specific four areas of our grantees. They determine what and how they want to work. We provide the financial support, technical support and capacity building to ensure that they fulfil their specific needs in their community.
- Our organization believes in a development approach allowing our grantees to express themselves in the work that they do.
- The reason for me to choose D is that we are only based in the Western Cape and going into the other provinces, and we can only help them (grantees) tell us the needs of their communities. We cannot go into an area with our knowledge, and we need to research and see what they really need in order to develop them, or the community.

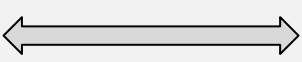
Reason for E

- Our organization works with other organizations without dictating to them, e.g. WHASP, an organization that organises and supports groups and gives training. For their 16 days of activism campaign, we provided the funds and they ran 16 awareness programmes with their own vision.

Question 1.2

To what extent does your organization rely on a call for proposals in order to find grantee partners / communities OR rely on networks and peers groups working with your target audience to identify suitable grantee partners/ communities, in need of support.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Call for proposals	A	B	C	D	E	Networks & peers	X
		1	5	4			

Document the reasons given for each letter score:

Reason for A

Reason for B

- We rely mostly on a call for proposals – if the grantees do not respond to the call, we have no way of receiving calls from them. A call is posted and we wait for the grantees to respond.

Reason for C

- We rely mostly on networks and referrals. Grantees tell other ‘new’ grantees about us and we also use hold convenings to spread the word about our grant-making. We only use calls for proposals as a specific theme once or twice a year.
- Our organization relies equally on a call for applications, which is posted on our website and social networking platforms, and convenings, which are in essence a peer gathering and networking meeting in the various provinces.
- We do some convenings to make organizations aware of our organization.
- We have a grant cycle method which consists of three cycles. We advertise / market these cycles through various ways, i.e. social media, website, convenings, workshops and networks.
- C because it is in the middle and I feel we use both methods, call for proposals, and we have three cycles. We try and advertise them on our website and Facebook. Also, we do the same with networks and peer. Grantees spread word of mouth, and we try and present in the network meeting that we take part in. For example Shukumisa is a group of NGOs in South Africa. We are a partner, and that also gives us an opportunity to spread the word about our funding cycles, also convening in other provinces.

Reason for D

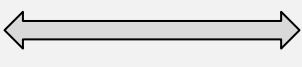
- We mostly get grantees through our networks (partners and existing grantees), and we do post on our websites for call for proposals.
- While the organization does send out calls for proposals. If it is discovered that there is a particular area that has not really responded to this call for some or other reason, we hold a convening in the particular area and we use that as an opportunity to gather more grant applications, e.g. at some point there was a lack of proposals from the Bloemfontein area during one of the grant cycles, so the grants department held a convening in the area. This included notifying local media outlets and using the existing network of grantees in order to spread the word. Grantees were then able to use the convening to submit applications.
- These are also calls for proposals on our homepage and social media, but most grantees get to know about us through convenings in the different provinces and through networking with existing grantees.
- We work with grassroots organizations that sometimes don’t have access to Internet and most of the applications come in because of word of mouth. This doesn't mean that we don’t send out formal calls for proposals. When we see that we have not received applications from a specific province, we will go to a community radio station in that area and send out a call.

Reason for E

Question 1.3

To what extent does your organization measure (assess) the effect of a grant in terms of strengthening the capacity for self-development – i.e. being able to find longer-term solutions to a problem OR supporting the capacity for survival – i.e. able to reduce immediate hardships

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Self-development	A	B	C	D	E	Survival	X
	1	4	4	1			

Document the reasons given for each letter score:

Reason for A

- We offer our best support and try and get them to have a bigger plan in the organization. Sometimes when they apply for funding, we first try and get to know if what they are asking for will sustain the organization. Also, we get our volunteers to offer support. Also, the submission of reporting from grantees helps us to measure, and also getting them in our research helps.

Reason for B

- We do focus on self-development and ways for grantees to find solutions. We make use of workshops, referring grantees to the right people and our volunteers and interns are also available to assist.
- The organization uses a strategic gender needs approach in order to implement and assess its grant-making model. This means that rather than focusing on the immediate situation of women, we focus on the overall (and systematic) position of women in society. Changing women's positions is what we view as the best way to break down the patriarchal norms which keep women in a position of subjugation, e.g. a positive effect of a grant is seeing that a grantee is now able to challenge a chief in her community. Self-development will enable women to survive.
- The main aim that the organization wants to see in their grantees is finding long-term solutions and that they can achieve that with their own capacities. But we also see the need for the capacity of survival sometimes, e.g. in terms of hate crimes towards the LGBTI community.
- We give grants to organizations because we believe they can develop themselves and become a healthy organization.

Reason for C

- We are gradually moving towards a strategic gender needs approach with grantees, but also are aware of addressing both practical and strategic gender needs. In terms of financial sustainability, we seek to decrease donor dependency in terms of income generation, or build grantee capacity to access other donor funding.
- We provide training in the form of a GBV and sexual and reproductive health rights workshop. This strengthens our existing grantees' self-development. At the same time, by issuing grants, we support their capacity for survival.
- We rely solely on the reports received from grantees, but [these] could at times not be a true reflection of how their capacity is growing or not. M&E is not possible for all grantees; therefore it becomes impossible to do a proper assessment of their true capacity.
- We utilise the skills of interns and volunteers studying or researching in the field relating to what our grantees do, i.e. income generating projects, self-sustainability, skills development, etc.

Reason for D

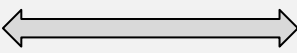
- At the moment we still provide grants to fulfil practical needs, i.e. serving projects, vegetable gardens, soup kitchens. A small portion of our grantees focus on more strategic needs in their communities.

Reason for E

Question 1.4

To what extent is your organization’s contract with a grantee partner/community official and legal – provides direction as well as terms and conditions OR a loose but binding understanding or social agreement laying out guidelines and expectations.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Legal contract	A	B	C	D	E	Binding understanding	X
	2	1	2	3	1		1

Document the reasons given for each letter score:

Reason for A

- Before the issuing of a grant, grantees must sign a legal document which stipulates terms and conditions.
- After short-listing grantees, we ask for supporting documents, and when we approve, we first tell them about the terms and conditions before even depositing the funds to make them commit and not misuse the funds once they sign the processed payments.

Reason for B

- We have a legal contract because we encourage due diligence from grantees. However, grantees are encouraged to communicate with us should they encounter difficulties, or when they need changes – legal, but also flexible to their needs.

Reason for C

- It is both. We do give out terms and conditions, and give them guidelines as to how they can best use the grant.
- The grantees have to sign a terms and conditions letter that states the purpose, what they have to use the money for. Nevertheless, if they want to use the money that is for example ‘left over’, they can, in communication with the organization, arrange alterations to the signed agreement.

Reason for D

- Our grantees are required to give reports and show that their grant has gone towards what they requested funding for in their application.
- If there is misappropriation of funds or fraud, there is no legal action we can take to recover the grant that was awarded.
- Our grant criteria and application is not legally binding.

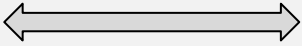
Reason for E

- Our grant-making agreement is strict but accessible to the grantees we serve. The grant-making process of selection is thorough, and grantees are selected based on fitting the grant-making criteria. We do a thorough check if they exist, and they have to sign a terms and conditions as well as submit reports.

Question 1.5

To what extent does the organization’s governance structure and system of decision making give priority to satisfying internal demands, policies and strategy OR acting in solidarity with the demands, ways of working and approaches used by grantee partners / communities.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Internal demands	A	B	C	D	E	Solidarity	X
		1	4	2			3

Document the reasons given for each letter score:

Reason for A

Reason for B

- Our governance structure does not really understand how development grant-making works, how grassroots communities operate and the niche we serve.

Reason for C

- Within the organization there is more expressed solidarity with the causes of our grantees' addresses. New Board members means that we spend considerable time on Board education and orientation. However, there have not been major conflicts in terms of which grantees to support, more with respect to understanding our unique approach to grant-making.
- The organization aligns its strategy with internal policies and the needs and demands of our grantees and their communities.
- The trustee's focus is mainly on the running of the organization. It has very little connection with grantees.
- Allow policies to secure the organization, also solidarity with our grantees because we are a women's fund. We need to intervene in the issues of the communities with GBSL and the rape that we read up in the newspapers, but we have a "rape fund" that helps us to intervene in solidarity of the community.

Reason for D

- Our grantees are required to adhere to our M&E methods and to fall within our thematic areas, but we are very aware of power dynamics. Our grantees have the freedom and the right to find workable and local solutions to their local problems. The organization doesn't prescribe these solutions, e.g. our grantee in Green Park was flooded. A few members of our Board wanted to go in and help them, but the purpose of the organization is not to fix the problems for our grantees, but to make it possible for them to fix it themselves, in a way that works best for them.
- Unable to give examples.

Reason for E

SECTION 2: SOCIAL FACTORS

This section focuses on the human side of the organization. It asks you to think about the informal social systems that make up the organization’s culture.

It includes the 1) values, norms and rituals that your organization holds; 2) informal networks of communication; 3) leadership, decision making and learning; 4) interpersonal, group and inter-group processes, and finally 5) attitudes, beliefs and behavioural skills.

Question 2.1

To what extent does your organization support grantee partners/communities that have capacity: i.e. demonstrate the ability to implement projects and activities OR are worthy: i.e. has a legitimate need or opportunity that should be supported

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Have capacity	A	B	C	D	E	Are worthy	X
	1		4	3	2		

Document the reasons given for each letter score:

Reason for A

- We support grantees that can implement projects and at the end of the day sustain the project and give back to the community.

Reason for B

Reason for C

- The organization's process of approving grants is very thorough. We have put systems in place to ensure that all grantees are legitimate. However, we work with grassroots women and are very aware of their position in society. Therefore, we offer capacity building to aid in growing our grantees' organizations.
- Mainly grassroots women's organizations rely mostly on voluntary capacity from their members. Our grant-making seeks to recognise the work their women do, and therefore capacity building plays a central part of overall grant-making to grassroots women's organizations.
- The organization equally supports grantee organizations that have expressed an ability to build capacity / projects and others who express a desire, e.g. some organizations we approach have registered as NGOs. Others have not yet gone through that procedure. However, this is not a deciding factor for us.
- Various workshops are sometimes offered to grantees, but unfortunately these are only workshops that are freely given by funders, and they are few in the offering. The organization does however offer grants to pay for such workshops.

Reason for D

- If we have faith in the opportunity and we think the organization can do it, we will support them.
- My observations have no particular example.
- In order to be worthy they need to have capacity, also to have a legitimate need. That is why we do not work with individuals. We only support groups of women in the community.

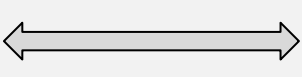
Reason for E

- The organization is particularly targeting grassroots organizations that are not well-established, e.g. not even registered yet. Every organization that is working for a worthy cause has a chance to be supported by us; their capacity can be established in the process.
- Capacity building forms a big part of our grant-making. All our grantees are on a different level.

Question 2.2

To what extent do your organization’s interactions with grantee partners/communities focus on determining whether you can help them or not; determining who else can address their needs linking them up for support, i.e. referrals.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Help or not	A	B	C	D	E	Referrals	X
	1	1	3	2	0		3

Document the reasons given for each letter score:

Reason for A

- We have a diverse list of thematic areas. We are able to help a huge percentage of grantees that apply.

Reason for B

- Based on observations, not directly involved.

Reason for C

- We want to help organizations, and we also want to refer them to other partners so that they can propose for more funding or get registered.
- Both aspects are assessed in the grant application / decision process. If they fall out of the criteria for the organization, they are referred to others, if possible.
- Grantees are encouraged to identify and mobilise local resources, such as networks and support groups. We do, however, also provide support to grantees, but only if they ask us for it.

Reason for D

- Grants are awarded to grantees as funding for their projects. If they require any other assistance, they will be referred to such organizations for help.
- Because we are a small organization, we try our best to help these grassroots projects, and where we know we can't help we do referrals, even to our existing grantees. When we see that they are in a stage to fly, we do give them direction to other donors when we know or call for approval.

Reason for E**Question 2.3**

To what extent do the conversations and questions between your organization and the grantee partner/community concentrate on economic advancement OR concentrate on social cohesion, solidarity and inclusiveness.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

	←————→						Unable to answer
Economic development	A	B	C	D	E	Social cohesion	X
		1	4	2	3		

Document the reasons given for each letter score:

Reason for A**Reason for B**

- I would say economic development because you will find these organizations in whatever they do; they also involve small generating income on the side in order for them to support their families and to be also independent, not to depend on government and the main.

Reason for C

- Depends on definition of economic advancements, I suppose. However, we do place emphasis on females being able to work towards control over resources. They need to change their lives for the better, and we also aim at building solidarity through connecting grassroots women with each other.
- Upon receiving a grant, grantees will call or come in for advice on how to spend the funds. Business interns also do site visits to help grantees with their books / business strategies. During site visits and convenings, we encourage our grantees to form networks of support and solidarity.
- [Edward has indicated 'C' but left the description blank]
- The economic part is important, because we want to know what they will do with the grant. But the social part is important as well. We visit our grantees to get to know them better.

Reason for D

- The organization believes that only through social cohesion and inclusiveness can women's economic place within society be improved as well as secured. While both are important, they are not mutually exclusive.
- Many of our grantees work in the same area but don't know each other. We encourage peer learning and partnership.

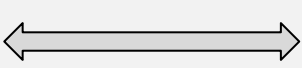
Reason for E

- The aim is to create social change in society and to continue to inform grantees about the latest developments in society, like crime rates, date rape, consulting, etc.
- Economic advancement is only partly relevant for the organization, only in terms of self-sustainability in the long run, financial.
- My answer is based merely on observation as I am not directly involved in the process.

Question 2.4

To what extent is the way your organization engages with the grantee partner/community based on accountability – making the partner account to you for what they do with the grant support against what was planned OR trust and two-way feedback about what is working and what in the grant needs to shift in response to changes in the situation or need.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Accountability	A	B	C	D	E	Two-way feedback	X
	1	1	3	2	2		1

Document the reasons given for each letter score:

Reason for A

- Grantees must report back as to how they spent the money and what they need to keep the project sustained.

Reason for B

- They have to write a report to explain where they used the money and how much they have spent.

Reason for C

- Reports back from grantees only.
- Both aspects are equally required to make the use of the grant transparent but not too rigid.
- Our grantees need to be accountable for funds in order to ensure legitimacy, but through convenings and site visits, they are able to voice concerns and changes to their circumstances and contexts. It is for this reason that the organization offers technical assistance to all grantees.

Reason for D

- Because some of the grantees are in other provinces and with the lack of funds for M&E we trust on the two-way feedback and to some organizations it is working because they keep us updated in everything they do.
- Not able to give specific examples.

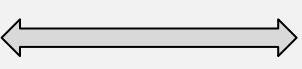
Reason for E

- Research forms a big part of our work. It helps us to do our work-based on the grantee needs. We are flexible with our grant making and grantees can communicate if the money issued will be used for something else.
- See 1.4 answer: accountability is important, but so is trust. What we seek is empowering relationships with our grantees where communication is open. We do encourage accountability, and communication is key to ensuring that this takes place.

Question 2.5

To what extent does your organization’s engagement with the grantee partner/community rely on the roles, skills and energies of a capable individual or leader OR rely on the roles, energy and aspirations of a group of people pulling together.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Capable individual	A	B	C	D	E	Group energy	X
			1	3	4		2

Document the reasons given for each letter score:

Reason for A

Reason for B

Reason for C

- An organization always has a leader. The leader has to be capable and needs to have some skills to run an organization, but also the energy and aspiration of a group gives you a good indication whether it should be necessary to support them or not.

Reason for D

- The organization puts emphasis on change as a collective effort, while also trying to encourage women to be leaders, e.g. in their communities or interest groups.
- We predominantly fund groups of women, rather than individual women. However, sometimes in groups a dominant leader might emerge, and here we try to understand group dynamics and have women in the group who can claim a voice.
- I believe the grants department follow and believe in a collective approach.

Reason for E

- All members are able to assist grantees with anything, but grantees do ask for specific people.
- The organization believes in the power of the collective. Our grantees are always a group of individuals pulling together to change their situation.
- We have a very flat structure. We follow a pro-people approach. Just as we believe that grantees know what they are doing, we also believe that every staff member has a say and can make a contribution.
- With the vision of the organization and our grantees we all try and push in the same direction. That is why you find a project with 10 people; then at a later stage you find they are only 7 people because we need a group of people that pull in the same direction.

SECTION 3: TECHNICAL KNOW-HOW

This section focuses on the nuts and bolts of how the organization delivers its products and services. It asks you to think about the factors that turn inputs into outputs. It covers the models and practices you use, workflow, procedures and systems as well as the skills and abilities of staff, board members and volunteers.

Question 3.1

To what extent do the grants awarded to grantee partners/communities by your organization “buy” the support and participation of grantee partners/community to participate in your project OR “invest” in a particular grantee partner/community’s own project or initiative.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
“Buy”	A	B	C	D	E	“Invest”	X
			1	3	6		

Reason for A

Reason for B

Reason for C

- I do believe the grants department endeavour to address the need of grantees / projects equally. However, as I am not directly involved, I cannot give examples.

Reason for D

- Our aim is to invest in grantees, to see them grow from grassroots to sustainable organizations.
- When they fill in the application form, they have to explain where they will use the money, and what they want to invest in.
- I would say we invest because these grants that we give out, we don't expect grantees to pay back. We only expect to see change and development. That is why we try by all means to invest in education and training so that at the end of the day they are skilled and equipped with something.

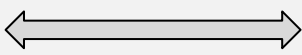
Reason for E

- The projects which are implemented by grantees are not determined by the organization. Our grantees request funding for their own projects and initiatives and we invest in these.
- We only invest in other projects, except for advocacy for women's rights and empowerment. All the actual 'work' is done by the grantees.
- Our 'project' is to support the aims and initiatives of grantees. Grantees do support our initiatives too, but mostly around motivating resources and also around projects or campaigns we have around women's rights.
- We support an organization called 'Free Gender' in Khayelitsha. They fight for the rights of LEBTI community in townships fired by the epidemic of hate crimes against lesbians. We invest the funds and Free Gender runs with it.
- The organization's first grant to grantees helps them to hopefully establish themselves in the project. At a later stage a second or third grant is given and they become an investment to us by their services.
- We invest in our grantees' own initiatives.

Question 3.2

To what extent do the type, size, quality or scope of products and services provided by your organization to grantee partners/community provide them with a prescribed or recommended product, service or model that your organization specialises in OR provide a customised product, service or model by turning to and teaming up with others who may be able to help provide what is needed

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Prescribed product or service	A	B	C	D	E	Customised product or service	X
	1		1	1	1		6

Document the reasons given for each letter score:

Reason for A

- With getting our interns involved in the project, the end result is a model tool that they will be able to use for the future, even if they are working with other NGOs.

Reason for B

Reason for C

- Our grant amounts are very small, and as such, that limits what we can support and what grantees can ask for support for. It is in this sense that we need to build grantees capacity to access bigger donor funding, through providing them with a ‘track record’ i.e. accounting for donor funds.

Reason for D

- We make use of our own capacity and skills within the organization, but also make use of outside facilitation and sometimes we also use grantees as trainers.


Reason for E

- The organization tries to cater to the individual needs of a grantee or campaign, e.g. for our ‘Give Hope’ campaign last year we were looking to provide something unique to attract individual givers. We came up with the idea to have a grantee organization design a bracelet which was packaged with a card designed by world famous advertising agency M&C Saatchi Abel. The card had messages like “I am a social activists”, etc.

Question 3.3

To what extent do the inputs and activities that your organization provides a grantee partner/community focus on creating a better future – by tackling systemic and structural issues in society or systems that hold a grantee partner/community from moving forward OR focus on facilitating a better now – finding a solution or remedy to immediate problems preventing a grantee partner/community from satisfying their current needs.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Better future	A	B	C	D	E	Better now	X
	2	3	4		1		

Document the reasons given for each letter score:

Reason for A

- Sustainable long-term development and systemic changes regarding gender inequalities is the organization’s main goal.
- We are looking to a better future because with the issue that communities face, we want to see safe communities for people to live in.

Reason for B

- We want grantees to be informed or stay in touch with current changes so that they can be prepared for whatever comes their way, now and in the future.
- The grants awarded to grantees help them to become sustainable in their surroundings. This creates a better future for them. Without the grants, there would be very little or no future.
- We support organizations so they will become independent and give them a chance to create a better future for themselves.

Reason for C

- As described previously, the organization implements a strategic gender needs approach which supports local solutions in the present for immediate barriers, but also (and most importantly) focuses on the systematic changing of women's position in society.
- As said before, we are gradually moving re-granting to be determined around how grantees are able to move from a practical to a strategic gender needs approach. However, sometimes urgent funding is needed to find an immediate sense of recourse from a disastrous event, so we do both practical and strategic gender needs grant-making.
- Some of our grantees are trying to create a "better now" in their communities, i.e. gender-based violence or the rape of a baby. Others focus on the long-term solutions to debt, etc.
- I think both of the above are equally addressed. I am not directly involved with the processing of the applications to give examples.

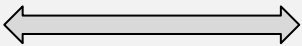
Reason for D**Reason for E**

- We work at what the grantee can benefit from in the form of their organization and assistance with the technical skills they might require. We then support them to the state where they must be a support to others.

Question 3.4

To what extent are the decisions regarding support for a grantee partner/community determined by what your organization has predetermined to be available OR the desire to customise help however you can – regardless of the level of support.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Preetermined	A	B	C	D	E	Customised help	X
		3	1	1	1		4

Document the reasons given for each letter score:

Reason for A

Reason for B

- Our grant amounts are very small, and as such, that limits what we can support and what grantees can ask for support for. It is in this sense that we need to build grantees’ capacity to access bigger donor funding, through providing them with a “track record” i.e. accounting for donor funds.
- Whichever projects require grants are predetermined by the grant committee. It is totally their decision as to who will receive a grant.
- We have specific cycles and provide grants during the cycles. However, we have recently launched a rapid response fund to assist grantees with emergency funding.

Reason for C

- Depending if it’s donor specific funding, then we would be governed by their time frame and specifics. If not, I do believe every effort is made to assist the grantees.

Reason for D

- At times we do not give grants to organizations, but we do make it clear that we are always available if they need any assistance.

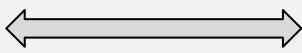
Reason for E

- The organization’s grantees are very heterogenic in terms of thematic areas and how well they are established. Therefore, a predetermined “service package” would not make sense for our grantee spectrum.

Question 3.5

To what extent does your organization simply assume that the grant has caused “no harm” to a grouping or community OR make sure that the grant has been for the “good or benefit of all”.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Assume no harm	A	B	C	D	E	Benefit of all	X
			1	3	4		2

Document the reasons given for each letter score:

Reason for A

Reason for B

Reason for C

- We try our best to ensure that grantees report, both verbally and through reports on the impact of the grant and not just on their organization, but also on the community within which they work.

Reason for D

- Our grant-making process (and M&E) is very much a two-way street. For grantees who are experiencing any “harm” within their communities, they are given the opportunity to tell us through various and consistent means. Also, the process of approving a grant makes sure that no harm prima facie will be done within communities.
- Grantees are asked before and after receiving the grant who[m] they intend to reach directly or indirectly, and what challenges can occur or occurred.
- Through the information on feedback from grantees and also info on the application form.

Reason for E

- The organization makes no assumptions when it comes to due diligence. Grantees must submit a report stating how and where funds were spent and how it impacted on the community.
- We have a good due diligence system in place, and use different methods to ensure that grantees have practices that benefit all. However, we are based in the Western Cape and sometimes can't visit all our grantees.
- Because we work with grassroots women we want each and every grant that we give out to the community to benefit members of the group and also members of the community.
- When monitoring the grants we listen to what people say and their stories about the grant and how it changes their lives and that of the community.

SECTION 4: PHYSICAL SETTING

This section is interested in location, environment and ambiance. It covers physical resources and setting and is interested in the location of your offices, the physical ambiance and accessibility of the premises, in relationship to those you serve and support.

Question 4.1

To what extent does the location of your organization minimise costs to yourself OR minimise costs to the grantee partner/community.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Minimise costs to yourself	A	B	C	D	E	Minimise costs to the grantee partner/community"	X
			6	2	1		1

Document the reasons given for each letter score:

Reason for A

Reason for B

Reason for C

- We are predominantly a grant-maker so we don't want to spend a large amount of money on rent, thereby minimising the amount of grants we give out. However, we are situated nearby public transport, which is the most cost-effective way for our grantees to travel to us.
- It's a bit of both – we want grantees to reach our office without a lot of trouble in terms of transport. We also seek cost-effective office space.
- Both aspects are taken into consideration when deciding on the location because one cannot survive without the other.
- We are strategically placed, close to a taxi rank and accessible to grantees. However, we are a national organization but only have offices in the Western Cape.
- Our location is situated close to all forms of public transport, with not too much transport fare required. However, I currently just happen to live close by.
- Location is not friendly to everyone, so difficult for grantees to find and it is a small space.

Reason for D

- We want to minimise costs to grantees by being close to public transport.
- Grantee organizations in Cape Town are situated further apart in the townships and on the Cape Flats. However, the Wynberg office is easily accessible by train, bus and taxis, as we are located less than five minutes from those transport hubs.

Reason for E

- The organization is situated in a very central location e.g. close to the taxi rank and the station. It enables the grantees to travel cheaply to our office when assistance is required, or to drop off grant applications.

Question 4.2

To what extent are your organization’s offices located away from – (i.e. separate from) other service providers and support organizations OR located near – i.e. with other service providers and support organizations.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

	←————→						Unable to answer
Located away from	A	B	C	D	E	Located near	X
		2	1	2	4		1

Document the reasons given for each letter score:

Reason for A

Reason for B

- While we are not positioned close to many other services providers in the grant-making sector; we are however in close proximity to service providers of a different nature, yet still required by the communities i.e. Department of Home Affairs, HIV/AIDS Counselling Centre, Refugee Advice Centre.
- I would say we are separated from service providers in terms of train station and taxi ranks. We are far. We are not easily accessible to grantees.

Reason for C

- We are located close to other grant-makers and governance departments.

Reason for D

- We are close to the courts, Home Affairs, clinics, public hospitals and other social services.
- There are quite a few service providers located in Wynberg and it is rather central.

Reason for E

- In this case there are many NGOs like Shine Centre with focus on early childhood development and other grantees who focus on ELDs and can get information from them.
- We are located in the same building as another NGO called ‘Shine Centre’, and are a few minutes away from Community Chest in the CBD. In terms of potential funders, our location in relation to the CBD is also beneficial.
- The organization is close to various public transports [modes] (trains, taxis and buses) and is extremely close to a police station.
- Wynberg is very central and near to other service providers in the Western Cape. Most service providers are in close proximity of the organization.

Question 4.3

To what extent do the physical conditions of your offices and other facilities stress the distinct identity your organization OR stress belonging to the environment in which your organization works.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
District identity	A	B	C	D	E	Belonging to the environment	X
	1	1	4	1	2		1

Document the reasons given for each letter score:

Reason for A

- Sometimes it is not easy to work because the space and the noise, and you can be on a phone call and the person next to you in the same office is making another call or talking.

Reason for B

- Our office is not situated in any local community space, but rather bordering on a middle-class residential area, and yet it is still close to public transport and lower-income CBD area, where a diverse community resides.

Reason for C

- We are organising our current space. Staff have dreams about creating a warm and friendly, resourceful space. We are still working at creating this.
- Our physical surroundings in and around our office identifies us as a women's fund and keeps us aware of the community we support. We have big photos of our grantees in the office, lest we forget.
- Even though we are accessible to our grantees, I would like us to have a space where grantees can have use of Internet access, typing, workshops and a library.
- I think it doesn't really stress the district identity; normally the stress belongs to the environment.

Reason for D

- The organization is not located in a township, but it is also not located in the CBD. Also, the office is not unnecessarily big. It is important to find a good and neutral 'middle way' to serve all needs.

Reason for E

- We have a very communal centre or environment, which makes it easy to feel a sense of belonging.
- Beautifully maintained surroundings with the most beautiful garden. It really opens up to nature and is not a city environment.

Question 4.4

To what extent does the decor in your organization’s facilities reflect the organizational personality of a funder OR Reflect the organizational personality of a “friend and neighbour”.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

							Unable to answer
Funder personality	A	B	C	D	E	Friend & neighbour	X
	2		3	5	0		

Document the reasons given for each letter score:

Reason for A

- Our décor includes posters of our campaigns and initiatives more than anything, so our funder personality is made visible.
- It has an office effect when walking into it and it feels like an office, not a friendly neighbour personality. The furniture is all office looking with all the staff members focussed on their laptop or computer.

Reason for B

Reason for C

- Our office is a very open space and doesn't have an imposing feeling. While it is professional, it shows warmth and a comfortable sharing of space.
- I would say the décor mirrors the world of the grantees and the values behind the organization (posters with mission statements and pictures of grantees). It is not unnecessarily fancy.
- We have a “friendly” space and grantees are welcome to use it at any time.

Reason for D

- The reason why is because the other centres in the building will ask for help from us and will bug us to open the gate for them.
- We find that grantees come to us a lot. Sometimes to work on a report, because we have a desk. We don't spend a lot of money on 'corporate image' but rather working creatively with limited resources.
- It is quite informal at the office, so you get more a "friend and neighbour" feeling.
- Our décor is very casual and informal.
- We are one happy family. We support each other personally and we are friends, even outside the working place.

Reason for E

Question 4.5

To what extent does the atmosphere in your organization present members/staff as separate from those being served – somehow superior OR present members/staff as close to those being served – equal and belonging to the same community or area.

Please circle the letter on the scale below that represents where you believe the organization sits between the two extremes.

	←————→						Unable to answer
Separate	A	B	C	D	E	Close to	X
			2	2	6		

Document the reasons given for each letter score:

Reason for A

Reason for B

Reason for C

- We are diverse in terms of race, class and gender. We acknowledge that. However, we seek to and share values and principles with respect to women's rights, empowerment and equality. We have staff who can communicate with grantees in their mother language, and not in English only. We do this consciously.
- The organization does not belong to a particular community I would say, but they try to be as close to the grantees as possible, otherwise it would hinder the "relatability" for the grantees that come to the office. It must also be kept in mind that most grantees from other provinces never actually come to the office. I experience the atmosphere as very equal, internally as well as to the grantees (as much as possible).

Reason for D

- Staff have input to the look and feel of the office. We all decide as a team how the office should look.
- Close, but we come from different backgrounds and cultures, but we respect everything about one another.

Reason for E

- The atmosphere in the office allows members to feel free to be themselves and to speak out whenever things do not make sense.
- While everyone in the office is from different backgrounds, we are all very much aware of the power dynamics and would never present an air of superiority. We are all very down to earth (otherwise we wouldn't be here).
- An atmosphere of equality is created through the fact that the majority of our staff do come from the communities we fund.
- Grantees are always welcome in an equal manner, well received at the office and made to feel at home, and always offered some kind of refreshment.
- Everybody is equal. There is no one superior. Like I said before, it is very informal at the office.
- We have a good interactive and social relationship with our grantees that have the freedom to call on us at any given time.

Appendix 3

CONSENT FORM

To: Susan Wilkinson-Maposa
PhD Candidate
Department of Sociology
University of Cape Town

Tel. 082 407 7394 or 021761 8964
Email swilkinsonmaposa@gmail.com

Title of Study: **Gauging the Horizontality of Community
Philanthropy Organizations: the Development and
Validity Testing of an Instrument**

Community philanthropy organizations (CPOs), i.e. organizations that give grants to communities, including community foundations, are emergent and growing vehicles of community development in South and Southern Africa. It is thus the focus of the researcher's PhD thesis. The study developed a self-assessment tool that members of community grantmaking organizations can use to assess the organization's behaviour in respect to its grantee partners and the community it serves. This research intervention is a useful way for organizations to assess current behaviour and reflect on improvements. It will help them establish whether they need to reorient their practice to be more in line with the aspirations and ways of working they talk about in their mission statement and strategy documents. Being able to do this is important. Increasingly donor agencies want to see that grantmakers actually do what they aspire to do when it comes to valuing community as a strategic asset.

The aim of this research is to investigate the quality of the instrument. Essentially, does it do what it is intended to do and can it be used broadly? If so, then it will be an important addition to the toolkit that community grantmakers can draw on. The researcher's investigation includes administering an individual questionnaire to members of a CPO and then convening a group discussion with participants to discuss and interpret the combined questionnaire results. The individual questionnaire gives members of a CPO the chance to "score" the organization's behaviour on a five-point scale as well as narrate what the organization does. The group discussion gives participants a chance to reflect on what the results reveal about how the organization actually behaves.

I am therefore requesting the opportunity to interview you as part of my research. This will involve the completion of an individual questionnaire and participation in a group conversation answering open-ended questions. The process is anticipated to take up to four hours of your time.

I will not use your name in documenting the research process or results. If you should feel at any stage of the research process that you no longer want to participate, you are free to withdraw your consent and all data that you have provided will be destroyed. Although there are no anticipated risks in taking part in this study, should you feel at risk in any way, you have the right to inform me, and I will address your concerns to the best of my ability.

Should you require further information do not hesitate to contact me at the above address. Thank you for your time and contribution.

I have read / ...

I have read and understood the consent form and I am willing to participate in this PhD research study. I understand that I will receive a copy of this form. I voluntarily choose to participate, but understand that I can withdraw at any time during the interview, and that my consent does not take away any legal right in the case of negligence or other legal fault of anyone involved in this study. I further understand that nothing in this consent form is intended to replace any applicable laws.

Participant Signature: _____ Date: _____

Researcher Signature: _____ Date: _____
