

**Performance Evaluation of
Interfaith Community Development Association (ICDA)**

(USAID/SA Grant Agreement No. 674-0305-G-SS-3094-00, as amended and
USAID/SA Grant Agreement No. 674-0305-G-SS-6034-00)

Evaluation Report

Submitted to:

USAID/South Africa

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Executive Summary

Since this project is based on two separate and different agreements, this evaluation is divided into different parts; the first (Part A) provides a common introduction, the second (Part B) deals with the South African Human Rights Project and the third (Part C) with the Capacity Building, Training, Community Organising and Network Building Project.

Part A: Introduction

Purpose of the Evaluation: to compare the progress to date of the Interfaith Community Development Association (ICDA) relative to its stated goals and to those of the SO6 team. This was done separately for each Grant agreement. A second objective was to synthesise the achievements of ICDA in relation to SO6 RP#3 and to SO6 in general.

Methodology: i) review of all documentation
ii) interview with CUSSP official
iii) interviews with key players
iv) survey of trainees.

Part B: Evaluation of South African Human Rights Project

USAID's Funding

Approach:

Amount and purpose of grant: USAID made an initial grant of \$200 000 in 1993; this was increased with an additional amount of \$250 000 in 1994; the period of the agreement was extended twice to Oct. 1996

Findings:

Program Elements (Agreement Objectives):

- C identify CBOs and civic associations in Gauteng who represent and provide services to the homeless in informal settlements
- C organise a research team comprising two senior researchers from the Centre for Policy Studies (CPS) and two interns who should be previously disadvantaged graduates
- C publish interim reports for each of the four different informal communities
- C organise a final workshop for the purpose of seeking agreement among CBOs, civics and residents
- C hold conferences at the end of the first and second years
- C expand research to investigate the meaning and impact of enfranchisement of the homeless
- C present a final conference
- C publish findings of the entire program in a final summary document
- C facilitate workshops and seminars on organisation and leadership development, and
- C conduct self development activities

Changes in the organisation: the organisation was restructured as a result of an independent report published in 1993 just prior to the USAID agreement. The Board of Directors was increased from 9 to 10 and staff was increased from 3 to 8. This expansion resulted in increased capacity which brought challenges presented by

growth.

Achievements:

- C Networking of organisations associated with the homeless: resulted in a report, "Report on Interviews with Organisations Connected with the Homeless". This activity conformed with the objectives of the Agreement.
- C Interviews with the Homeless: this research targeted homeless people in backyard shacks, overcrowded inner-city flats, informal settlements, and site-and-service schemes; findings disseminated through focus meetings, workshops and a conference. These activities were in conformance with the Agreement objectives.
- C Research into enfranchisement and housing delivery: research focussed on Ivory Park and resulted in conference paper entitled: From Homeseekers to Citizens ? Consolidation and Citizenship in Ivory Park presented at conference in Oct. 1995; although not fully conforming with the Agreement objectives, the outcome of the research was valuable.
- C the "Volunteer Action and Local Democracy" program: in 1995/96 ICDA entered into a research partnership with the Community Agency for Social Enquiry (CASE); the program which was carried out in Ivory Park and Soweto addressed the question of the state of awareness and readiness of community leaders to engage with new local authorities to effect change and development in the living conditions of their communities. This activity conformed with the objectives of the Agreement.
- C Development of ICDA's organisational capacity: in 1996, ICDA increased its numbers with the employment of an administrative assistant and two community organisers; in addition, new equipment was purchased and donations of furniture and equipment were received from USAID. These changes were in conformance with the Agreement.
- C Community organising: community organising was established in Soweto, Ivory Park and the inner-city of Johannesburg; this was in conformance with the Agreement.
- C Community training and research institute: in 1996 ICDA brought all of its existing and planned training programs together under the banner of the Community Training and Research Institute; this conformed with the Agreement objectives.
- C Seminars, conferences and meetings: a total of 1476 persons attended conferences, seminars or meetings hosted by ICDA in accordance with the Agreement.
- C Reporting/Information dissemination: generally the level and the quality of reporting was excellent and, apart from the absence of a satisfactory final report, was carried out in conformance with the Agreement.

Non-achievement of Intended Results:

Two intended results were not realised. One program element required ICDA to host a final conference; this did not occur. Reportedly, this was discussed with USAID and the intention is to defer the conference to the end of the project (*i.e.* 30 April 1999), which was effectively extended by the award of a second grant (see Part C of this report). Another element required that the research done in the second year of the Agreement should involve three or four housing projects; only one was studied.

Unanticipated Consequences:

Three were identified: (1) fieldworkers had great difficulty in obtaining interviews in Ivory Park due to the pre-election climate and the unsafeness of the area; for these reasons the research took longer and its breadth was compromised; (2) problems arising from the re-organisation of ICDA over a three year period and the rapid turnover of research interns employed and managed by CPS; these factors retarded the efficiency of the staff and the quality and rate of progress of the program; (3) influencing the housing policy debate was pre-empted by government housing policy being finalised prior to the completion of the research.

Lessons Learned:

A great deal was learned about the social and political practicalities of doing research in informal settlements.

Synthesis:

ICDA's activities contributed positively, be it only indirectly, to SO6 RP#3 and SO6.

Part C: Interim Evaluation of the Capacity Building, Training, Community Organising and Network Building Project

USAID's Funding

Approach:

A USAID grant for \$360 000 was made in September 1996. The Agreement is due to expire at the end of April 1999.

Program Elements (Agreement objectives):

- C capacity building and training of communities
- C community organising
- C technical assistance and exposure through exchange programs
- C setting up community development forums
- C information dissemination, research and facilitation on shelter issues
- C establishment of dues-paying organisations to support broad-based participation and fund operating costs
- C direct social action in support of healthy and safe community environments

Findings:

Changes in ICDA: Little change in staff, but introduction of nominally paid interns to work closely with ICDA community organisers; the capacity of the organisation was also enhanced by the introduction of volunteers and community leaders.

Achievements:

- C Community Training and Research Institute: ICDA started offering in-house training courses in 1995 under the old USAID agreement; this gathered momentum under the new agreement; workshops were also designed, presented and facilitated by ICDA. The Association was also active in organising seminars, conferences, focus groups and other meetings. An informal training impact assessment survey was conducted by the assessors which indicated that these were considered to be excellent - particularly with

respect to developing self-confidence and independence. All the respondents reported that they apply the practical knowledge and hands-on skills gained from the training in their everyday work and that the training creates opportunities to share practical experiences, develops civil and public skills, and provides extensive reference material.

- C Broad-Based Community Organising: the key pillar of ICDA's work is its intervention at community level where it identifies and trains leaders, and facilitates the organisation of communities; this happens in five different regions of Johannesburg.
- C Community Dispute Resolution: ICDA has historically been involved in this activity in collaboration with other organisations.
- C Sustainability/Self-Sufficiency: good progress has been made in decreasing ICDA's dependence on donor funding by charging for consulting services, training courses/workshops, and associate membership. Over the two years ending May 1998, a total of R422 103 was earned.
- C Human Resource Development: staff members have been encouraged to attend training courses, seminars and workshops.
- C Strategic Planning: ICDA has devoted a lot of time to strategic planning issues in 1998.

All of the above activities are, to a larger or lesser extent, in conformance with the objectives contained in the Agreement.

Non-achievement of Intended Results:

As this is an interim evaluation, it is difficult to make a final judgement. It is clear from ICDA's achievements to date that most of the Program Elements (Agreement objectives) are being actively addressed; there is some doubt whether or not ICDA has fully met those elements dealing with research and associated reporting /dissemination of results.

Unanticipated Consequences:

Three unanticipated factors appear to be hindering ICDA's progress; (1) beneficiary institutions and trainees are far less able to pay for ICDA's products and services than originally anticipated; (2) notwithstanding their "situational" nature and the fact that they were adequately addressed, inadequacies in the performance of the staff continued to hamper the organisation; (3) the original recruitment strategies for the three in-house training courses have clearly been rendered inadequate and alternative methods have had to be adopted.

Synthesis:

ICDA's activities have contributed positively to SO6 RP#3 and SO6, be it in an indirect manner.

PART A INTRODUCTION

A1. Introduction

A1.1 Evaluation Purpose

This report documents the results of an evaluation of Interfaith Community Development Association (ICDA). Two separate USAID Grants were made to ICDA in respect of agreed objectives to be pursued over the period August 1993 to April 1999. The main objective of the evaluation was to compare ICDA's progress to date relative to its stated goals and to those of the SO6 Team. This was done separately for each Grant Agreement, given that there were significant differences in the specific objectives of each, and that one has been completed and the other is due to expire in April 1999.

A second objective was to synthesise the achievements of ICDA in relation to SO6 RP#3 and to SO6 in general.

A1.2 Scope of Work

In terms of our agreement with Macro International Inc. we were commissioned to conduct a performance evaluation of ICDA, the scope of work being as follows:

- C review relevant information sources and interview representatives from Grantee organisations with a view to establishing the aims and objectives of the Grant and how these link with USAID's SO6 goals
- C assess the current status of the Grant in terms of individual accomplishments and in comparison to the intended results agreed on by the Grantee and USAID
- C for RP#2 Grants, meet with the CUSSP Project Officer to gain an understanding of the projects and how the project preparation trusts were to relate to the former CUSSP project
- C identify and discuss the rationale for any transformation or changes that have occurred in the organisation
- C determine and show whether or not results have been achieved and goals met, and whether this was done within the agreed upon Grant arrangements
- C for all performance levels, assess the rate of progress/non-progress
- C for training-related components of the performance assessment, conduct a trainee impact assessment survey. This should address the following questions:
 - a) what was the trainees' perception of the training experience?
 - b) whether trainees are using the experience gained, and how?
 - c) whether the training has impacted on the professional life of trainees, and how?
 - d) what concrete examples can be provided of things learned?

- e) what do trainees' envisage will be the long-term benefits of training received?
- C indicate whether there were any unanticipated positive or negative consequences and how these impacted on the program
- C highlight lessons learned by or through the Grant and identify best practices
- C make suggestions and recommendations regarding the overall performance and future activities of the Grantee and USAID
- C if necessary, debrief Grantees and organisations prior to departure.

A1.3 Methodology

Document review: A careful study of the main agreements and amendments was undertaken in order to establish the main purposes and objectives of the two grants. In addition to these documents, we obtained copies of internal reports, auditors reports, publications, *etc.* and studied these.

Interview with CUSSP Official: A meeting was held in Pretoria with Russell Hawkins, the CUSSP official and Sesana Mokoana, the USAID official responsible for the ICDA project. From this meeting and a study of documents provided by Macro International we obtained an overall understanding of the nature and purpose of SO6, RP6.3 and ICDA.

Interviews with Key Players: Following the document reviews, we visited ICDA's offices in Johannesburg and interviewed the Executive and Administration Directors. These discussions focused on ICDA's intervention philosophy, activities and accomplishments. In addition, we interviewed the current Chairperson of the Board, a wide range of ICDA staff, interns, community members and other key individuals. The objective of the interviews was to establish the extent to which these individuals understood the purposes of the USAID Grant Agreements, and the nature and effect of the ICDA training to which they had been exposed.

Survey of Trainees: The main recipients of the formal ICDA training courses were Board and staff members, interns and key community members. A large number of trainees were also reached through seminars and workshops. A small sample of trainees was interviewed.

Structure of this report: Part A of this report sets out the purpose of the report, the scope of work and the methodology. Parts B and C, respectively, relate to the two separate Grant Agreements entered into between USAID and ICDA.

It will be remembered that the purpose of the evaluation (see A1.1) was to compare ICDA's performance relative to stated goals. These are, however, communicated in a somewhat complex manner in the Grant Agreement entered into between the Grantee and USAID. This complexity derives from the tendency for USAID Agreements to simultaneously set a purpose, objectives and action programs, which at worst often seem unrelated, and at best are open to interpretation.

Our approach in the reporting is to first present the purpose, objectives and action plans as stated in the Agreement and then to present the actual performance of the Grantee without

attempting to align these. In the case of ICDA, it was often the case that a program run by the organisation addressed more than one program element. Therefore, it seemed more logical to describe the organisation's activities in terms of programs, rather than by program elements. The report is thus structured such that after the description of each program or group of related activities, we explain how the various activities relate to the agreed program elements and comment as deemed necessary.

It is important to note that we confined our reporting to the comparison of activities with program elements, mainly because they essentially stipulate a methodology to be followed by the Grantee in order to achieve the objectives and purpose of the Grant. It might appear as if we have failed to report on the extent to which certain objectives - as opposed to program elements - have been achieved. This apparent omission relates, however, to the fact that objectives and program elements were not in all instances properly aligned in the Agreement. In the conclusion of the report we do comment on the extent to which the activities appear to have addressed the main purpose of the agreement. In this context it is also noteworthy to observe that the grant "objectives" as reflected in Part C do not actually constitute objectives in the true sense of the word and constitute -in our opinion- a mere listing of activities for the grantee to carry out. It is our view that the formulation of clear and specific objectives and a thorough review of the linkages between objectives, program elements and activities should have taken place prior to the signing of the Agreement.

A1.4 Background

The following background material is taken directly from the two grant agreements.

At the broadest level, the problem being addressed is that of inequitable power, privilege and resource distribution and the breakdown in social structures that is the legacy of apartheid in South Africa. At a more immediate level, the issue is one of lack of capacity among the urban poor to represent their own interests *vis-a-vis* public and private-sector decision-makers and spearhead the improvement of their shelter conditions. Available data indicate that the vast amount of urban dwellers in South Africa live in substandard conditions with regards to housing and related urban and social services. Accessible potable water, sanitation, electricity, and housing of minimal acceptable quality are but some of the goods and services that are unavailable to this group who are overwhelmingly of black, coloured and Asian descent. Poor or non-existent educational facilities, joblessness and a high incidence of crime are also the norm within the townships and squatter settlements where the urban poor reside.

The Interfaith Community Development Association (ICDA) is a non-profit NGO founded by church and community leaders in Soweto in 1991. In October 1993, ICDA received an initial grant from USAID to manage the Human Rights Project and a later one to manage the Capacity Building, Training, Community Organising and Network Building Project. The purpose of the initial grant was to : (1) assist the residents of informal settlements in achieving greater representation in community development decision making; and (2) facilitate a process through which the residents of informal settlements are represented in the resolution of roles and mitigation of conflict between organisations within informal settlements. The objective of the project was to improve the quality of life of the residents of informal settlements and townships. USAID, in terms of the Agreement, provided funds for financial management assistance salaries, travel expenses, workshops, conferences, research internships, research costs, publications and other research-related expenses.

**PART B EVALUATION OF THE SOUTH AFRICAN HUMAN RIGHTS PROJECT
(Agreement No. 674-0305-G-SS-3094-00)**

B1. USAID's Funding Approach

The grant issued in August 1993 was for the amount of \$200 000 (then R600 000) and was due to expire on October 30 1994, but was extended as described in Section B2.1.

B1.1 Purpose

The main purpose of the Agreement was to: *“support the institutional strengthening of ICDA to increase its capacity to: [1] undertake applied research; and [2] assist its members to implement a program of structured interviews and workshops to increase the capacity of the homeless to participate effectively in municipal and community planning.*

B1.2 Objectives

The following broad objectives were set:

- i. “assist organisations representing the majority of the population to develop more effective representation of the homeless, and
- ii. through the publication of research, workshops meetings and conferences, provide information to the homeless and assist them to voice their priorities, interact with each other, and with those organisations involved in shelter and community development policy and programs”.

B1.3 Program Implementation Plan

The Agreement set out a detailed plan of action. Brief summaries of the elements of this plan are as follows:

1. identify and analyse CBOs and civics in Gauteng who service the homeless; organise a workshop to discuss issues identified and analyse and report these.
2. establish a joint ICDA-Centre for Policy Studies (CPS) research team to study representation, roles and relationships in the community development process. Four typical informal communities should be studied (minimum of ten respondents per community); organise a one day community workshop to review and discuss the issues identified and analyse, report and disseminate the results.
3. publish an interim report for each of the four community segments studied under (2).
4. organise a final workshop to seek agreement among CBOs, civics and residents on their respective roles.

5. organise a final conference to review the facts and issues and develop policy recommendations.
6. publish a final summary document with analysis and policy recommendations and suggestions for future research.

B2. Findings

B2.1 Changes to the Purpose and Program Implementation Plan and Expected Outputs

The Agreement was first amended in September 1994. The main purpose of Amendment 1 was to increase the Grant amount by \$250 000 (then R787 500) and to extend the period of the Agreement to October 1995. Amendment 2 further extended this date to October 1996. Amendment 1 also broadened the original purpose and program implementation plan. The following represents the amended purpose of the Agreement.

The main purpose of the Agreement was to: *“support the institutional strengthening of ICDA to increase its capacity to: [1] undertake applied research; and [2] assist its members to implement a program of structured interviews and workshops to increase the capacity of the homeless to participate effectively in municipal and community planning; 3) facilitate processes and activities on the representation of the homeless in the development of government housing and community development policy; 4) to investigate the meaning and impact of the enfranchisement of the homeless; and 5) facilitate organisation and leadership development in selected informal settlements.”*

The following are the amended elements of the implementation plan, hereafter referred to as Program Elements.

1. (i) *identify* CBOs and civic associations in Gauteng who represent and provide services to the homeless in informal settlements; (ii) *catalogue* their approaches, successes, failures, weaknesses and strengths; and (iii) *organise a workshop* to discuss issues identified and analyse and report these;
2. (i) *organise a research team* comprising two senior researchers from CPS and two interns who should be previously disadvantaged graduates. This team is to (ii) *conduct research* using structured interviews to identify the facts and issues of representation, roles and relationships in the community development process. Four different types of informal communities should be studied with a minimum sample size of ten respondents in each. (iii) *Organise a one day community workshop* to review and discuss the issues identified and analyse, report and disseminate the results;
3. *publish interim reports* for each of the four community segments studied under (2). Each report should explain the rationale for selecting the community and summarise the interviews, analysis, issues, workshop proceedings and ICDA/CPS analysis. Reports should also explain how the needs in informal settlements are being met and the extent to which solutions need to differ from the current approach embodied in housing policy proposals and programs;
4. *organise a final workshop* for the purpose of seeking agreement among CBOs, civics

and residents on their respective roles and determining negotiated rules to govern the representation of and delivery of services to informal settlements;

5. *hold conferences* at the end of the first and second years, in order to review the facts and issues and develop policy recommendations that will ensure the representation and input of the homeless in community development projects;
6. in the second year of the Grant, *expand research* to investigate the meaning and impact of enfranchisement of the homeless, and use the research to address the implications of the proposed housing policy. *A study should be conducted* to assess the effectiveness of the planned housing delivery system as it affects the homeless. Three or four low-cost housing projects or site and service schemes are to be studied, comparisons are to be made of the various housing delivery approaches, and any groups or individuals not enjoying access to such schemes are to be identified. In addition, the development of voluntary organisations and neighbouring networks must be reviewed, describing their roles in the housing process;
7. (i) *present a final conference*. The conference should: review the findings from the second year study (see 6 above); reach consensus on who are the beneficiaries of low-cost housing schemes; and develop recommendations on suitable approaches to low-cost housing delivery, site and service schemes and housing policy. (ii) ICDA should *document* how housing programs and policy would need to change in order to accommodate the needs of informal settlement communities;
8. *publish findings of the entire program* in a final summary document with analysis and policy recommendations and suggestions for future research;
9. *facilitate workshops and seminars* on organisation and leadership development during the second year of the Grant, and
10. *conduct staff development activities* to strengthen ICDA's organisational capacity.

Expected outputs specifically required in terms of the amended Agreement were as follows:

- i. a research proposal
- ii. interim reports including edited proceedings of workshops
- iii. final summary document
- iv. seven quarterly reports to USAID
- v. audit
- vi. project evaluation

B2.2 Changes in the Organization of ICDA

In July 1993 just prior to the signing of the USAID Agreement, an independent report on ICDA was prepared for USAID by Sizwe & Company. ICDA's organisational structure then comprised a Board of Directors (9), one Organising Director, one personal assistant, and one community organiser. The Sizwe report noted that "ICDA is understaffed and there are therefore no proper segregation of duties which are required for proper accounting controls".

By the expiry of the extended Agreement period in October 1996, there had been significant development in ICDA's organisational structure. The Board of Directors now numbered 10, and the staff profile included: one Executive Director; one Administration Director; one Administrative Assistant; one Senior Program Facilitator/Organiser; and four Community Organisers.

However, this expansion did not come without its problems. The October 1996 internal report noted several management and staff-related problems. These included: tardy implementation of activities; slow pace of orienting staff to a result-orientated approach to development and reporting (a general challenge to all NGOs); negligence in record-keeping (with specific reference to weekly progress reports); lack of internal cohesion between staff; poor coordination; and excessive workloads. Assurances were given in the report that these matters were being addressed.

B2.3 Achievements

ICDA's achievements over the period of the Grant Agreement are described below. Typically the format for this section is as follows. Firstly, the nature of the achievement is described; secondly, an indication is given of how it relates to the Program Elements; and finally, where appropriate, critical discussion is presented.

The Program for this Grant essentially involved research and the dissemination thereof. A research plan was designed in conjunction with the Centre for Policy Studies. Phase 1 of this plan was aimed at drawing together and networking organisations concerned with homelessness in order to learn about their experiences and to document and disseminate these to the whole group. The second phase involved interviewing homeless people in various different situations to establish the degree of representation of the homeless in the housing and community development process. The results of the research endeavour are explained in more detail below.

B2.3.1 Phase 1: Networking of Organisations Associated with the Homeless

Between November 1993 and February 1994 researchers from the CPS conducted 29 interviews with representatives from 25 organisations connected with the homeless. This resulted in the "*Report on Interviews with Organisations Connected with the Homeless*". The report: defined categories of homelessness; reported respondents' opinions about what should be done about homelessness and the inadequacies of the current delivery system; commented on the role of the State; discussed structures through which the homeless should be organised; described the state of organisation of the homeless; and described the outcome of one initial and two focus group meetings. Two previously disadvantaged interns were employed on the project. Both played an active part in the field interviews, working under a senior researcher.

The first focus group meeting involved developers and development agencies. The topic of discussion was their experiences in dealing with the homeless. The second focus group discussed the same topic, but involved service organisations.

Degree of Conformance with Intended Results. The above activities relate to and fully satisfy the requirements of Program Element 1. Component (i) of Program Element 2 was also satisfied by the employment of previously disadvantaged interns as research assistants.

B2.3.2 Phase 2: Interviews with the Homeless

The second phase of the research targeted homeless people in four typical situations: backyard shacks; overcrowded inner city flats; informal settlements; and site-and-service schemes. It was impossible to establish from the documentation made available to us the exact number of interviewees involved in this phase, but based on an interim report, there appear to have been at least 30. Four research reports were produced. As was the case in Phase 1, the team included previously disadvantaged research interns.

Focus meetings, workshops and a conference were held to discuss and disseminate the findings of the research. These involved or were attended by: the National Housing Forum; homeless people; organisations representing homeless people; the development sector; NGOs; and church organisations.

Degree of Conformance with Intended Results. The research and dissemination thereof described above relate to and satisfy Program Elements 2, 3, 4 and part of 5.

B2.3.3 Research Into Enfranchisement and Housing Delivery

Two ICDA-CPS workshops were held to formulate the research plan for the second year of the extended Agreement. The research focussed on the Ivory Park community where two CPS research interns collected data from 60 interviewees. The research objectives were to: examine and evaluate consolidation (*i.e.* progressive development) of both personal households and the community; examine the extent to which a sense of citizenship has developed within the community; and to inform the housing policy debate with insights into the extent of consolidation occurring within informal settlements. The findings of this research were written up and edited by the interns and prepared in conjunction with a senior CPS researcher as a conference paper entitled: *From Homeseekers to Citizens? Consolidation and Citizenship in Ivory Park*. A well-attended conference was held in October 1995 at which this and other papers were presented.

Degree of Conformance with Intended Results. These activities relate to Program Elements 5 and 6. The organisation of the conference fully satisfied the requirements of Program Element 5. The execution of the research project, however, only partly satisfied the requirements of Program Element 6 (see Section B2.4 for details of this).

Discussion. Notwithstanding its deviation from the Agreement, the outcome of the research was clearly valuable and the conference was successful. ICDA obtained good insights into the consolidation and citizenship aspects of informal settlements. In any event, the only housing delivery that was happening, or that was likely to happen in the short term, was funded by the government under the then new housing subsidy scheme. In this light, the agreed intention to include a study of housing delivery approaches in the research obviously seemed pointless. ICDA should, however, have requested that the Agreement be formally amended to suit what it intended to do - and motivated this on the grounds that the changing policy environment had negatively influenced the viability of the original program.

The research reports we studied noted that, for various reasons, it had been extremely difficult to sample as randomly as CPS would have preferred. This begs the question of why CPS/ICDA did not select a different community where such difficulties would not have been encountered.

B2.3.4 The “Volunteer Action and Local Democracy” Program

During the last two months of 1995 and the first three months of 1996, ICDA entered into a research partnership with the Community Agency for Social Enquiry (CASE) to further the work of ICDA organisers in the areas of Ivory Park and Soweto (Tladi-Moletsane-Jabulani). Contacts were also made with the Johannesburg Inner City community.

The program, entitled “*Volunteer Action and Local Democracy- a Partnership for a Better Urban Future*”, addressed the central question of the state of awareness and readiness of community leaders to engage with new local authorities to effect change and development in the living conditions of their communities. In the course of the research: five workshops and seven focus group meetings were held in connection with the Ivory Park and Soweto components; eight interviews with Inner City leaders; and three interviews with various Councillors. One of the workshops concentrated on renewing contact with and expanding the existing network of organisations that had been established during Phase 1 of the original program (see Section B2.3.1), with the specific purpose of disseminating the research findings. In addition, international dissemination occurred through the publication and presentation of a paper at the International Meeting of the United Nations Research Institute for Social Development, held at Istanbul in May 1996.

It should also be noted that the two CASE researchers (one of whom was from a previously disadvantaged background) were exposed for the first time to the participatory action research method employed on the project.

Degree of Conformance with Intended Results. The workshop/focus group approach to this research program satisfies the requirement of Program Element 9, which requires the facilitation of workshops and seminars. Element 9 did not, in our view, intend to prescribe that these be part of a new research program, but rather assumed that the themes of the workshops and *seminars* would revolve around the research already completed in the first two years of the Agreement.

The exposure of CASE researchers to new research methods and the fact that one was from a previously disadvantaged background relate to and satisfy what Program Element 2 implies is a general requirement that previously disadvantaged interns be exposed to and trained in research.

Discussion. Had the original program schedule been adhered to, the workshops and seminars intended by Program Element 9 would have related to the completed and in-progress research work done in 1994 and 1995. Given that Program Element 9 was largely neglected during 1995, the one-year extension until October 1996 presented an opportunity to address it differently. In our assessment ICDA displayed good initiative in effectively broadening the original objectives to include a further research project. Once again, though, ICDA should have had the Agreement amended to reflect this change.

B2.3.5 Development of ICDA’s Organisational Capacity

In the earlier stages of the program, the ICDA team had consisted of the executive and administration directors, and two facilitators. The 1996 program required the facilitators to play a role in terms of which it was felt that they would be better described as community organisers. In 1996 ICDA increased its numbers with the employment of an administrative assistant and two additional community organisers. In addition, new equipment was purchased and donations of furniture and equipment were received from USAID.

Degree of Conformance with Intended Results. The expansion and development of ICDA's organisational capacity satisfies the requirements of Program Element 10.

Discussion. It was noted above (see Section B2.2) that ICDA was experiencing staff-related problems and that these were being addressed. It is clearly the intention of Program Element 10 that ICDA's organisational capacity should be strengthened by any staff development activities. The expansion exposed weaknesses in both the management and the development of staff. Management's commitment to tackling these problems is encouraging and, if successful, could serve to significantly strengthen the organisation. In its response to a draft of this report ICDA stressed that staff problems were generally "situational", rather than fundamental, and that they were always addressed effectively.

B2.3.6 Community Organising

As already noted, ICDA's intervention method shifted in 1996 towards broad-based community organisation. With four community organisers on its staff, it established community organising projects in the areas of Tladi/Moletsane and Orlando West/Dube (both in Soweto), Ivory Park, and the Inner City of Johannesburg. During 1996 the community organisers made inroads into the identification of issues crucial to the unification and consolidation of their respective communities. Many of these issues were acted upon with ICDA playing a facilitatory role, which it refers to as "relational organising", in bringing key players together to design and implement solutions. See Section C2.2.2 in Part C of this report for more detail of this intervention model.

Degree of Conformance with Intended Results. The activities described above relate to Program Element 9 in the sense that they represent the establishment of links with selected informal communities and the facilitation of leadership development.

B2.3.7 Community Training and Research Institute

In 1996 ICDA brought all of its existing and planned training programs together under the banner of the Community Training and Research Institute. The following data were obtained from the 1995/6 and 1996/7 Annual Reports. During 1995 and 1996, a total of 96 leaders, organisers, business and government officials received training as follows. The "Mass-Based Community Organising" 3-day program was presented six times to a total of 87 individuals (41 women and 46 men). During 1996, two additional training courses, one on "Advanced Mass-Based Community Organising" and the other on "Participatory Program Planning and Evaluation", were developed. The "Advanced Mass-Based Community Organising" 10-day program was presented once during the year, to 9 participants (7 men and 2 women).

Degree of Conformance with Intended Results. The activities reported above relate to Program Element 9. As will be seen by its requirement and formalisation in Part C of this report, the establishment of a training centre was premature, in that it was not specifically required in terms of the Agreement under review. It was, however, in ICDA's opinion, a logical extension of the intention of Program Element 9.

B2.3.8 Seminars, Conferences and Meetings.

In addition to its structured in-house training courses, ICDA hosted a total of four events that took the form of conferences, seminars or meetings. These were attended by a total of 1476 individuals from the various organisations and communities with which ICDA was associated and covered the following topics: Partnering for A Better Urban Future; Concerned Housing Promotion and Networking Activities; Community Housing Initiative; and Local Economic

Development. The purpose of these events was information dissemination. Given that the most recent of these events was held over two years ago, and the relatively little time we had at our disposal, we were unable to interview any of the participants.

Degree of Conformance with Intended Results. These activities relate to and satisfy the requirements of Program Element 9.

B2.3.9 Reporting/Information Dissemination

We scrutinised a number of internal documents including: reports on the design and progress of the research projects; conference reports and papers; USAID quarterly reports (one of which was also described as a final report); and an auditors report. Generally, the level and quality of reporting was excellent.

In 1996 ICDA began distributing a newsletter, "Community Talking Points", a summarised compilation of topical media issues and trends. This was distributed to organisers and targeted individual community leaders.

Degree of Conformance with Intended Results. Various Program Elements stipulated the requirement for the preparation and dissemination of reports. The requirements in this regard are summarised at the end of Section B2.1. In terms of this list, all expected written outputs were produced, with the exception of an external evaluation report. There is also a measure of doubt as to whether or not Program Element 8 has been fully addressed (see discussion below).

The dissemination of information not specifically related to one of the prescribed research projects was not required by the Agreement. However, the publication of the above mentioned newsletter satisfies Program Element 9, if informing community leaders is taken to be included in the definition of "leadership development".

Discussion. Program Element 8 required the findings of the entire program to be published in a report which was to include housing policy recommendations and identify further research directions. We were given a copy of a document entitled "*Report for the Period August - October 1995 and Final Report under Amendment One*", which as the title implies, was the final quarterly report required in terms of the Agreement, together with sufficient background, a review of the whole project, and proposed future direction. Technically, this has most of the elements of the required final report. We do not, however, believe that the report fully met the intended purpose of Program Element 8 for the following reasons. Firstly, there was an inappropriate emphasis on the achievements of the last quarter. Secondly, the review section was underdeveloped. Thirdly, the section on ICDA's future direction neglected to spell out future *research* directions. Finally, no housing policy recommendations were made.

In addition to the above, the report was not a final report because the program was extended to October 1996. We believe that a separate document, clearly describing all three years of the project in terms of its objectives, findings, policy recommendations and identification of further research needs, should have been prepared.

B2.4 Non-achievement of Intended Results

Two intended results were not realised. Program Element 7 required ICDA to host a final

conference relating to the entire research program and to document findings on how policy and programs would need to change to include the homeless. ICDA acknowledged in its internal October 1996 report that the conference had not occurred in October as planned, but in its response to a draft of this report, noted that this had been discussed with USAID and that the intention is to defer the conference to the end of the project (*i.e.* 30 April 1999), which was effectively extended by the award of a second grant (see Part C of this report).

Program Element 6 required that the research done in the second year of the Agreement should involve three or four housing projects. However, only one project was actually studied. In addition, the research was supposed to produce housing policy recommendations based on a comparison of the various housing delivery approaches encountered in these projects. This did not occur, given that only one project was studied.

ICDA failed to produce a final evaluation of the entire project. The process was reportedly started in 1997 when, in consultation with the USAID Project Officer, a consultant was approached and terms of reference formulated. However, USAID reportedly withdrew this requirement and the money that had been reserved for this activity was refunded to USAID in 1998.

B2.5 Compliance with Agreement

B2.5.1 Rate of Progress

Among the problems identified in its October 1996 internal report, ICDA highlighted the problems of poor coordination, delays in the implementation of activities and the late submission of reports. The final extension of time by one year was requested and granted in order to give ICDA the opportunity to address Program Element 9. Although this element was largely addressed, the final conference was not held and a separate final project report was not prepared.

B2.5.2 Deviation From Conditions of Agreement

Apart from the extent to which anything reported in Section B2.4 might be construed as such, we found no evidence of any deviation from the conditions of the Agreement. Where non-performance was clearly the result of external factors such as the changing policy environment, we did not regard this as a deviation from the Agreement.

B2.5.3 Results of Trainee Impact Assessment Survey

Four different types of training occurred as a result of this Grant Agreement. Firstly, there were the focus group meetings and workshops that occurred as part of the research process and were apparently information gathering and dissemination sessions. As such, we did not regard them as training and did not conduct a trainee impact assessment in respect thereof.

Secondly, there were the conferences, seminars and meetings (see Section B2.3.8) not specifically related to research projects. For the reasons stated in Section B2.3.8, we were unable to arrange interviews with any of the participants and consequently did not conduct a trainee impact assessment. Given that these were largely information dissemination sessions and that we were able to scrutinise the programs and some of the papers presented, we did not consider it detrimental to the assessment of ICDA's training that we were unable to interview participants. In any event, this would have been virtually impossible in the case of community members as interviews would have required on-site visits, and time constraints as

well as other logistical difficulties precluded this.

The third type of training involved formal in-house courses presented by ICDA at its premises (see Section B2.3.7 for details). These courses were the beginnings of what has grown into a major part of ICDA's operation. As will be seen in Part C hereof, one of the main purposes of the second USAID Grant was to develop this training operation. Because this type of training was in its infancy and has since been refined in the light of experience, we decided to present the trainee impact assessment in Part C, regardless of whether the training occurred under the first or second Agreements.

The fourth type of training involved the mentoring of previously disadvantaged research interns, all of whom were employed and managed by CPS. This appears to have been a great success, judging by the reports they have written or contributed to, and the fact that they were entirely responsible for the field work on the Ivory Park project. One problem with the mentoring program was the high turnover rate of interns - over the first two years of the Agreement, five different individuals reportedly occupied the two research intern positions. The main reason for this was that interns were enticed away by offers of (presumably more lucrative) employment elsewhere.

Although we were not able to interview the interns, we did meet with Mary Tomlinson, the senior CPS researcher involved on the Ivory Park project. Based on this meeting and the evidence of the research outputs produced over the period, we were satisfied that the interns had benefited enormously from their involvement in the process and from their exposure to mentors of the calibre of Mary Tomlinson, Steven Friedman, Caroline White and Khehla Shubane (all of CPS).

B3. Unanticipated Consequences

Three unanticipated factors impacted on the project.

The first of these concerned the data-gathering element of the research program. The main problem was that the proposed research methodology of random sampling proved impossible to implement. Field workers experienced great difficulty in obtaining interviews with Ivory Park residents, largely because of the pre-election climate and the consequent constraint of having to work through political gate-keepers. The volatility of the situation also made the area potentially unsafe for field workers. The effect of this factor was that the research took longer than expected and, to some extent, its breadth was compromised.

The second factor concerned ICDA's organisational capacity. ICDA's staff numbers doubled in the relatively short space of three years and the organisation had obviously not fully anticipated the internal organisational consequences of this. New staff members required intensive specialised training, orientation, coordination and management, that, initially, were not available. In addition, the high turnover of research interns employed by the CPS was both unanticipated and counter-productive. These factors effectively retarded the efficiency of staff, and therefore the quality and rate of progress of the program.

The third factor concerned the external environment. An obvious underlying motive of the initial research program was to specifically influence the housing policy debate to recognise and cater for the homeless. It was not possible to do this in the manner originally intended, *i.e.*

through the publication of research findings, because government housing policy was finalised prior to the completion of the research. This fundamentally affected the research environment and had the effect of narrowing the scope of the research. However, in 1994 ICDA convened a meeting between the National Housing Forum and representatives of homeless communities, and in this manner probably did succeed in influencing the policy debate.

B4. Lessons Learned

Much was learned about conducting research in informal settlements. The concept of research is alien to an informal settlement community and is regarded with suspicion. Research projects need to be packaged in a way that encourages the participation of the community, but does not raise their expectations. An observation made in one of ICDA's internal reports is that workshops are not the best way of accessing households in informal settlements. Another factor affecting research is that representation in informal settlements is highly politicised and access to interviewees is likely to be controlled by gatekeepers. This is especially so in a pre-election climate. Crime and instability also affect research at two levels: the safety of the researchers; and the motivation of community residents to participate in the interviews. The main lesson is that, paying due regard to the above, the research methodology needs to be carefully designed and piloted before deciding on the detail of an implementation plan.

A further lesson learned from the project is that establishing links with and networks in communities is a slow process, and results tend to be seen in the long-term, rather than immediately.

It is clear from the internal reports we studied, that there were some difficulties associated with working in collaboration with partners. The main problem was the difficulty of coordinating activities requiring joint inputs, but problems were also experienced in building smooth working relationships between organisations. The lesson flowing from this is that these difficulties should be anticipated and project plans should include structures to facilitate effective collaboration.

B5. Conclusion

Our main conclusion is that, in terms of its general achievements, this was a very successful project. This conclusion is based on a comparison of the achievements described in Section B2.3 with the amended purpose of the Grant as given in Section B2.1.

In summary, ICDA's capacity to undertake applied research was achieved through its partnership with CPS and the nature and extent of information dissemination through conferences, seminars and workshops, particularly where these targeted community members, would clearly have increased their capacity to participate in municipal and community planning (although time did not permit a quantitative analysis of the extent to which this might have occurred). The Ivory Park study provided good insights into the meaning and impact of the enfranchisement of the homeless and the organisation and development of the leadership in selected informal settlements was thoroughly addressed by the "Volunteer Action and Local Democracy Program" and the community organising initiative started in 1996.

The only element of the Grant's purpose that was not thoroughly addressed was the

facilitation of the representation of the homeless in the development of government housing and community development policy. This is more a reflection of the faster than anticipated pace of government policy formulation, than of any omission on the part of ICDA.

B6. Recommendations

It is clear that much was learned both about communities of the homeless and about doing research in such communities. In light of the importance of this experience to other organisations endeavouring to intervene in this sector, it would have been preferable if the research results of Phase 2 had been suitably packaged and more widely disseminated. ICDA reports that discussions were concluded with USAID officials in this regard and that possibilities of funding such were established with Jeremy Hager.

B7. Synthesis: Results Contribution to SO6 RP#3 and SO6

SO6 Results Package #3: Support for CBOs and NGOs

Intermediate Result # 6.3: *Increased Non-credit forms of assistance to the HDP for obtaining access to shelter and urban services.*

IR 6.3 indicator: *number of HDP households that receive services through non-credit assistance.*

It is noted that this Results Package description does not corroborate fully with the required Intermediate Result nor with the IR-level indicator. In terms of the IR-level indicator; 'number of HDP households that receive services through non-credit assistance', it is difficult to assess ICDA's conformance with the indicator for this results package; ICDA's main activities and achievements have been in the areas of networking, research and capacity building - all with respect to access to housing, i.e., these activities have been at the initial stages of a process which has led to access to shelter and urban services. In this sense ICDA has been very successful. Although ICDA makes attempts to monitor the number of households it is impacting on, it is our opinion that -given the indirect nature of the intervention- it is not really possible to accurately quantify the numbers of HDP that have benefited from ICDA's activities. Moreover, the number of households which are captured by ICDA tend to include all households covered by e.g. a tenants association or another type of organizational grouping of people. In our opinion, it is overly optimistic to assume that *all* members belonging to a certain association have actually benefited from ICDA's interventions, on the mere basis that ICDA has worked with the leaders or representatives of that association.

SO6 Goal: *Improved access to environmentally sustainable shelter and urban services for the historically disadvantaged population*

ICDA has been successful in partially meeting this goal albeit in an indirect manner. Understandably, the *environmentally sustainable* aspect of the SO6 goal does not appear to have been a factor with respect to ICDA's RP#3 activities. The SO6 housing strategy is 'designed to support the national effort to adequately house the disadvantaged *majority*'. It is clear that ICDA has been successfully able to operate at the lower end of the income spectrum where most of the housing need lies.

**PART C INTERIM EVALUATION OF THE CAPACITY BUILDING, TRAINING,
COMMUNITY ORGANISING AND NETWORK BUILDING PROJECT
(Agreement No. 674-0305-G-SS-6034-00)**

C1. USAID's Funding Approach

The grant issued in September 1996 was for the amount of \$360 000 (then R1 400 000) and is due to expire on April 30 1999.

C1.1 Purpose

The main purpose of this Agreement is to continue the work started by ICDA in the latter stages of the previous Grant, *i.e.* capacity building and training through the establishment of a training institute, the fostering of community contacts and networks, and the dissemination of information.

C1.2 Objectives

The following are the specific program objectives, as stated in Attachment 2 of the Agreement:

- i. "establishment of a training institute as a sub-division of ICDA for training and enhancing the institutional capacity of organisations and groups working with target communities;
- ii. creation of an *ad hoc* leadership collective representing a minimum of 55 institutions in the greater Johannesburg area as a basis for an effective broad-based advocacy organisation;
- iii. setting up of community building networks in the greater Johannesburg area by the end of year one;
- iv. the creation of appropriate partnerships between business and government and the formation of development forums in promotion of the RDP's "people driven" development process;
- v. production of 4-8 major publications and summaries of in-depth experiences based upon action research and social analysis;
- vi. the establishment of dues-paying organisations which will elect their own strategy and steering teams in specified sections of Johannesburg by the end of the Grant, and
- vii. measurable improvements in access to shelter, urban services, education and information for the target population".

C1.3 Program Implementation Plan

A detailed implementation plan is set out in Annexure A of the Agreement, which essentially repeats the objectives listed above and elaborates on the interpretation of certain of these. The following specific activities (hereafter referred to as Program Elements) are expected to be undertaken in terms of the Grant:

1. “*capacity building and training* in community dispute resolution and community organising, including developing effective training methodology, techniques and practices;
2. *community organising* involving social analyses, group meetings and trust-building activities;
3. *technical assistance and exposure* through exchange programs for community leaders;
4. *setting up of Community Development Forums* to function as facilitators of development;
5. *information dissemination, research and facilitation* on shelter issues (in conjunction with research institutions such as the Centre for Policy Studies);
6. *establishment of dues-paying organisations* to support broad-based participation and fund operating costs, and
7. *direct social action* in support of healthy and safe community environments, accompanied by community involvement in policy formulation, implementation and monitoring”.

C2. Findings

C2.1 Changes in the Organization of ICDA

Between the expiry of the previous Agreement and the present time, there has been only one change to the profile of the staff - the resignation of one of the community organisers. The Senior Program Facilitator has taken over this function.

An internship program was introduced in 1996/7. This involved the employment of community members, students from tertiary institutions and youth who had been through the ICDA training course(s) to work closely with the ICDA community organisers in their respective areas. Although not listed as staff members, these interns are paid a nominal salary and certainly enhance the capacity of the organisation to do its work at community level. Indeed, from our interviews we established that the nature of the community organiser-intern relationship is far more that of a team than an intern-ship/mentor-ship. Interns typically work independently of their community organisers, reporting on progress weekly.

In addition to the efforts of the permanent staff and interns, the capacity of the organisation is significantly enhanced by the inputs of volunteers.

C2.2 Achievements

ICDA's achievements over the period of the Grant Agreement are described below. Typically the format for this section is as follows. Firstly, the nature of the achievement is described; secondly, an indication is given of how it relates to the Agreement's implementation plan; and finally, where appropriate, critical discussion is presented.

C2.2.1 Community Training and Research Institute

a) Training delivered. As noted in Part B of this report, ICDA began offering its in-house training courses in 1995 while still under the original USAID Agreement. This initiative gathered momentum under the new Agreement. In addition, ICDA designed, presented and facilitated workshops for various client organisations. Details of these activities are as follows.

The following data were obtained from the 1996/7 and 1997/8 Annual Reports. Over the period November 1996 to March 1998, a total of 50 individuals received in-house training as shown in Table 1.

Table 1: In-House Training

Training course	Nov 1996- March 1998		Total
	Men	Women	
Mass-Based Community Organising (3 days)	13	10	23
Participatory Programme Planning and Evaluation (5 days)	8	8	16
Self-Esteem workshop (2 days)	4	7	11
Total	25	25	50

In addition, 268 individuals participated in workshops specially designed to meet the particular needs of various client organisations. Topics covered in these workshops included: conflict management; community dispute resolution; mediation training; church leadership; basic management skills; participatory strategic planning and management; participatory project planning and management; fund-raising techniques; community organising and leadership; communication skills; and team building.

b) Seminars, conferences, focus groups and other meetings. ICDA continued to be active in this area after the termination of the first Agreement. Following on from the presentation of such events under the first USAID Grant, ICDA hosted a total of 21 events that took the form of conferences, seminars or meetings. These were attended by a total of 618 individuals and covered the following topics: Community-Based Initiatives and New Alliances; Local Economic Development; Housing Savings Schemes; Ecumenical Housing Savings Schemes; Financial Sustainability for Community Development; Congregations Participation in City Developments; People's Participation in Low-Income Housing, the Namibian Approach; Sustaining Development Finance and Interventions; Small Business Promotion and Local Business Centres; Training for Development; Marketing Role in Development Work; Community Building and Organising in South Africa as a Tool for Empowerment and Building Communities; various issues concerning education; and accessing housing subsidies.

In addition to the above, which all occurred prior to June 1998, seven further seminars were presented later in the year (we were not given attendance details). We also learned of a recent initiative entitled "Housing Conversations". This program involves monthly seminars held at the offices of the National Housing Forum Trust. Six seminars, each typically attended by about 50 people, were held between June and November 1998.

c) Trainee Impact Assessment Survey. Every interviewee was questioned on what ICDA training they had been exposed to and were asked to discuss the impact thereof. We did not take a scientific approach to this assessment for the following reasons. Firstly, given the number of trainees and seminar/workshop participants involved and time constraints, it was logistically impossible to interview a significantly large and diverse sample of individuals. Secondly, it was obvious from some of our interviews, that trainees had attended the course(s) or seminars too long ago to be able to discuss them in detail. We also got the impression that some of our interviewees had attended so many training courses and seminars that they were having trouble telling them apart! Finally, the nature of the ICDA training is such that it does not teach "hard" skills, but appears to subtly transform the individual's way of thinking and provides an opportunity of sharing practical experiences.

These factors influenced us to adopt a loose, qualitative approach in gathering the information. Essentially, we asked interviewees to recount their experiences, raise positive and/or negative issues, and comment on how (or whether or not) they were employing the benefits of the training in their current situations. We did not scrutinise trainee assessments of courses, although we were informed that such assessments are routinely done. We felt that a more reliable source of information would be the trainees themselves, notwithstanding the potential for something to be missed, given the small sample we interviewed. The following points summarise our discussions with 16 interviewees and refer mainly to the Mass-Based Community Organising (3-day) in-house course (although a few had also attended the 5-day and/or 10-day courses). A few of the interviewees had only attended seminars.

The in-house training courses were generally considered excellent. A general comment was that the training developed self-confidence and independence. Examples of specific skills/techniques acquired/learned by trainees included:

- C how to dealt with conflict
- C how to approach and unite leaders and key role players
- C leadership
- C how to assess target communities and gain their trust
- C avoid politics and handling money
- C facilitation and organising people around issues
- C communication and inter-personal skills

All the interviewees reported that they apply the practical knowledge and hands-on skills gained from the training in their everyday work, either as ICDA community organisers, or in their various capacities in other organisations, and that the training creates opportunities to share practical experiences, develops civil and public skills, and provides extensive reference material.

Degree of Conformance with Intended Results. The wide range of training activities described above, which range from formal in-house courses, to workshops, seminars and conferences relate to and satisfy Program Element 1 and parts of Program Elements 4 and 5.

C2.2.2 Broad-Based Community Organising

The key pillar of ICDA's work is its intervention at community level where it identifies and trains leaders, and facilitates the organisation of communities. This initiative began under the previous Agreement (see Section B2.3.6) with the establishment of operations in four geographically defined areas, and the assignment of a dedicated ICDA community organiser assigned to each area. Since October 1996, when the first Agreement expired, there have been two further developments: the addition of a fifth area, Hillbrow/Berea; and *ad hoc* involvement in new areas. The following diagram depicts ICDA's intervention model.

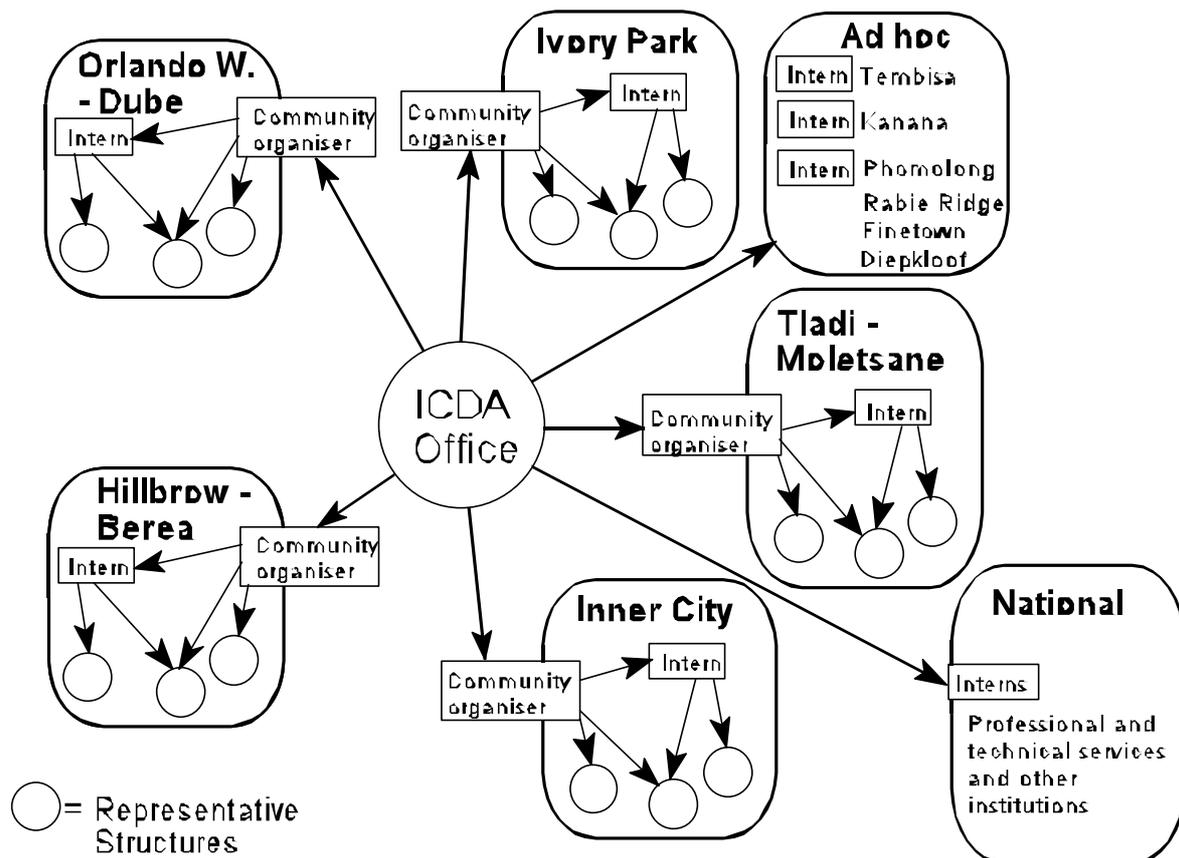


Figure 1: ICDA's Intervention Model

The intervention strategy works as follows. Community organisers have all attended at least the 3-day Mass-Based Community Organisation in-house training course. With the skills and techniques gained from this training, they identify community leaders and influential individuals, with whom they establish relationships and develop trust. Through these contacts they identify major issues that hinder development, consolidation or cohesion in the community and set up representative structures around these issues. Depending on the issue, such a structure might be temporary or permanent and typically, a separate structure would be established around each issue. Although the community organiser maintains contact with and facilitates these structures, they are managed by the stakeholders.

Community organisers are assisted in this work by community-based interns, all of whom have been trained under the ICDA intern program. The theory, depicted in Figure 1, is the community organiser and intern would typically work together in the early stages of the

mentorship, with the intern gradually becoming more independent. However, we learned from our interviews that some interns had worked independently from the outset, with the mentorship taking the form of weekly report-back and forward planning meetings with the community organiser.

Examples of the progress made in the five areas where ICDA is active include:

Table 2: Examples of ICDA’s Impact

Ivory Park	Tladi-Moletsane	Inner City	Hillbrow-Berea	Orlando West-Dube
Established coordinating structure for 46 youth groups	Formed and promoted two “ministers fraternals” representing 50 churches and 80 leaders. Helped initiate housing savings scheme.	Built networks between religious communities and local councillors and co-facilitated formation of Inner City Community Development Forum	Mediated between tenants, landlords and council over charges for services in apartment buildings	Busy establishing a broad-based organisation to unite existing and create new structures
Established Ivory Park United Church Association, organising 46 church groups	Established an alliance of 15 schools to address educational issues	Penetrated 50 of the approximately 120 NGOs working in the Inner City	Broadened participation into the Community Policing and sectorial forums, religious groups and local government	Mediated conflicts among feuding development forums
Undertook groundwork and research on implementation strategies for Local Economic Development and proclamation of Ivory Park as a formal township.	Established a community policing forum	Established an anti-racism forum to deal with the xenophobia issue	Investigating and supporting social housing initiatives	Established the Community Banking Forum
			Worked with landlord/tenant Dispute Resolution Board on implementation of Legislation in buildings and analysing progress and implications	

Degree of Conformance with Intended Results. The broad-based community organising aspect of ICDA’s work relates to Program Elements 2 and 4. The establishment of dues-paying organisations (*i.e.* the representative structures it has established in communities) relates to Program Element 6. Much of what is summarised in Table 2, as well as numerous less quantifiable instances of ICDA’s work relate to Program Element 7.

Discussion. From Table 3 it can be seen that revenue from membership dues represents less

than 1% of ICDA's income. Although it is clearly important, there would appear to be little potential for this to become a significant source of revenue (refer to the discussion under C2.2.4). Indeed, this begs the question of why dues are charged at all, if their impact on sustainability is negligible. We are of the view that the practice should nevertheless be retained as it is in broad keeping with ICDA's style of intervention, which among other things aims to develop and mature fledgling communities - and cultivating a culture of payment for services is an important part of that.

C2.2.3 Community Dispute Resolution

ICDA has historically been involved in community dispute resolution in collaboration with other organisations. The 1997 Annual Report lists eight cases in which the organisation has offered mediation services in disputes over: mortgage normalisation; landlord-tenant relations; policy development processes; access to land and housing; staff relations; and building alterations.

Degree of Conformance with Intended Results. No Program Element specifically requires this type of activity. However, the broad aim of Program Element 2 (community organising) is served by such intervention.

C2.2.4 Sustainability/Self-Sufficiency

ICDA is clearly aware of its over-reliance on donor funding, particularly from USAID. Good progress has been made in decreasing this dependency by charging for consulting services, training courses/workshops, and associate membership. Figures taken from the 1996/7 and 1997/8 Annual Reports indicate that revenue from these sources over the two years was as follows:

Table 3: ICDA Revenue - Consulting, Training and Membership 1996-1998

	April 1996-March 1997	April 1997-March 1998	Total
Consulting fees	R101,788	R306,924	R408,712
Training/workshops	R4,950	R6,841	R11,791
Membership	R120	R1,480	R1,600
Total	R106,858	R315,245	R422,103

Membership fees at present are largely dues payable in respect of the ongoing support offered by ICDA from the representative structures (see Figure 1) it has established in its community intervention program. In addition, the organisation is currently trying to attract fee-paying individuals and organisations as associate members.

Degree of Conformance with Intended Results. The collection of revenue from member organisations relates to and partially satisfies Program Element 6.

Discussion. Program Element 6 implies that revenue from membership fees could significantly contribute towards funding the organisation's operating costs. The evidence thus far suggests otherwise - notwithstanding the improvement in membership fees over the past year, this is clearly a significantly less likely source of revenue than consulting services.

Given the importance of training as a mainstream function of the organisation, it is worrying

that revenue from this source is also relatively insignificant. The issue of “poor recruitment for training and workshops” is identified in the strategic plan as a weakness. The problem is clearly that the sector most in need of the type of training and workshops in which ICDA specialises, is also the least likely to be able to pay for it.

The potential for ICDA to achieve financial self-sufficiency appears to be extremely limited, if not highly unlikely. This view is based on our discussions with Stewart & Co., ICDA’s auditors. Without entering into a detailed analysis of income and expenditure, the following broad observations can be made. The Executive Director and the Administration Director generate the consulting income, which has shown impressive growth from about R100 000 in 1996/7 to about R306 000 in 1997/8. Projections for the 1998/9 year indicate that consulting revenue could be around R500 000. However, this growth rate would not be sustainable without increasing the number of consultants and R500 000 is regarded as about the maximum the two consultants could generate.

Expenditure for the 1996/7 period was about R1.1 million and R1.4 million for the 1997/8 period. The projected amount for the 1998/9 year is estimated at about R1.6 million. The major portion of the R300 000 increase in expenditure for 1996/7 to 1997/8 was attributable to salaries, which was necessary to keep incomes in line with market norms. In the current affirmative action climate and with the attractive packages available for qualified and experienced previously disadvantaged consultants, these norms are likely to remain relatively high in the short term.

Thus, we can see that at present and probably for some time to come, revenue lags expenditure by about R1.1 million. The obvious response to this would be to take on more consultants, but at current salaries they are unlikely to generate more than it costs to employ them. In summary, it would appear that ICDA cannot achieve financial self-sufficiency and will have to raise approximately R1 million (present value) of donor funding per annum to break even.

C2.2.5 Human Resource Development

The personal development of staff members is encouraged and facilitated by ICDA. Numerous examples are given in the Annual reports of training courses, seminars and workshops attended by staff. In addition, three staff members are currently enrolled for tertiary level study in the fields of social work, personnel management and business administration.

Of particular significance in terms of the Agreement is the fact that five staff members benefited from an exchange program by attending a 10-day training program on Community Organising presented in Boston by the Industrial Areas Foundation.

Degree of Conformance with Intended Results. It is not clear to us whether Program Element 3 is intended to benefit community *leaders* or community *organisers*, nor is the intended meaning of “technical assistance and exposure through exchange programs” clear. The only evidence we encountered of what we understood by “exchange programs” involved staff members as described above.

C2.2.6 Strategic Planning

In recognition of the fact that it operates in a rapidly evolving sector, ICDA has devoted much attention to strategic issues during 1998. A strategic planning workshop was held in May 1998, which on the basis of the documentation we studied, appears to have been a thorough and

focussed exercise. An action plan was formulated which clearly defined tasks, responsibilities and time frames for delivery. An analysis of progress in this regard is beyond the scope of this evaluation, given its interim nature and the recency of the resolutions.

C2.3 Non-achievement of Intended Results

Given that this is an interim evaluation, a judgement of whether or not any intended results had not been achieved would be premature. However, while it is clear from the achievements described above that ICDA has been actively addressing virtually all of the Program Elements, the area of research and the associated reporting/dissemination of results (part of Program Element 5) has apparently been neglected.

As noted in Section C2.2.1 (b), ICDA has on its own, as well as through its association with the National Housing Forum Trust, been actively involved in information dissemination by way of seminars and in the production of publications under the excellent *Housing Conversations* program. If these activities adequately meet the research requirement of Program Element 5, then, apart from the issue noted above regarding the interpretation of Program Element 3, all intended results have at least been addressed and most have been achieved. If, however, the research component of Program Element 5 requires ICDA to design and undertake research projects - which seems likely, given the nature of the previous Agreement evaluated in Section B - then the organisation has not been sufficiently active in this regard.

C3. Unanticipated Consequences

Three unanticipated factors appear to be hindering ICDA's progress.

Firstly, regarding financial pressures, it is clear that beneficiary institutions and trainees are far less able to pay for ICDA's products and services than originally anticipated. Coupled with this is the problem of poor cash-flow and the slower than expected negotiation of support from new local donors.

Secondly, inadequacies in the performance of the staff (which, it will be remembered, was also raised as a problem under the first Agreement - see Section B4) continued to hamper the organisation. Examples of inadequacies given in the December 1997 internal report include: "slow response by our own allies and staff to emerging community development opportunities"; "over-reliance on the skills and experience of founding staff"; and "it has taken longer than expected for community organisers to gain the necessary confidence and/or skills". In its response to a draft of this report, ICDA noted that these inadequacies were "situational" rather than continuous or long-term, and were addressed in a variety of ways, including: formal performance appraisals; staff development programs; and expansion of staff by the addition of interns.

Finally, regarding training, recruitment strategies for the three in-house training courses have clearly been rendered inadequate. This is evident from the sharp decline in the numbers of trainees and frequency of presentation when comparing the achievements of the original and current Agreements. The issue was identified for action in the strategic planning process and developments are currently underway to redesign the courses in terms of level and content. ICDA reports that a new approach has been adopted (which involves targeting institutions rather than individuals) and that this is already proving successful.

C4. Lessons Learned

The main lesson to have emerged thus far, is that if it is to be effective, the organisation has to be dynamic enough to respond to change, whether this involves training needs, community issues, or financial pressures.

C5. Conclusion

Given that the Agreement is current, it is premature to draw conclusions. However, the following points are worth noting as preliminary conclusions:

- ! ICDA is clearly a very successful operation in terms of its focus on community empowerment, network building and facilitation of/involvement in the dissemination of information.
- ! There is evidence of good management and discipline in terms of the organisation's adherence to conditions and objectives of Agreement. The organisation is, however, very dependent on Ishmael Mkhabela Louisa Thellane and Josie Adler in particular for their contacts in communities and NGOs and enormous capacity for work. Ishmael is also a strong leader and good motivator and it is unlikely that ICDA would perform as well as it has under different leadership.
- ! The organisation is not sustainable without donor funding and revenue from membership and training is relatively insignificant.

C6. Recommendations

ICDA should concentrate on obtaining revenue from consulting services and attempt to secure an ongoing commitment from one or more donors to make up the shortfall between revenue and expenditure. Notwithstanding our having highlighted the problem of the revenue generated by additional consultants being unlikely to exceed the cost of employment, ICDA should consider establishing a programme whereby trainee consultants are brought in and developed. It is likely that much useful and profitable work could be done by these individuals during the time that it takes them to develop to the extent that their cost of employment breaks even with the revenue they generate.

C7. Synthesis : Results Contribution to SO6 RP#3 and SO6

SO6 Results Package #3: Support for CBOs and NGOs

Intermediate Result # 6.3: *Increased Non-credit forms of assistance to the HDP for obtaining access to shelter and urban services.*

IR 6.3 indicator: *number of HDP households that receive services through non-credit assistance.*

It is noted that this Results Package description does not corroborate fully with the required

Intermediate Result nor with the IR-level indicator. As regards the IR-level indicator; 'number of HDP households that receive services through non-credit assistance', it is difficult to assess ICDA's performance against this indicator since ICDA's main activities and achievements have been in the areas of community organising, training and the organising and implementation of workshops, seminars and conferences - all with respect to access to housing, i.e. these activities have been at the initial stages of a process which has led to access to shelter and urban services. In this sense ICDA has been very successful indeed. Although ICDA makes attempts to monitor the number of households it is impacting on, it is our opinion that -given the indirect nature of the intervention- it is not really possible to accurately quantify the numbers of HDP that have benefited from ICDA's activities. Moreover, the number of households which are captured by ICDA tend to include all households covered by e.g. a tenants association or another type of organizational grouping of people. In our opinion, it is overly optimistic to assume that *all* members belonging to a certain association have actually benefited from ICDA's interventions, on the mere basis that ICDA has worked with the leaders or representatives of that association.

SO6 Goal: *Improved access to environmentally sustainable shelter and urban services for the historically disadvantaged population*

ICDA has been successful in meeting this goal albeit in an indirect manner. Understandably, the *environmentally sustainable* aspect of the SO6 goal does not appear to have been a factor with respect to ICDA's RP#3 activities. The SO6 housing strategy is 'designed to support the national effort to adequately house the disadvantaged *majority*'. It is clear that ICDA has been successfully able to operate at the lower end of the income spectrum where most of the housing need lies.

ANNEX

ICDA's Comments on the Draft Evaluation Report

ICDA's comments on the first draft of the evaluation report (which was issued on 23/12/1998) are enclosed for the record. The consultants have not been able to respond to all the grantee's comments in their final evaluation report. This relates partly to the limited time available to them to conduct and finalize the evaluation. Also, and more importantly, there would have been a need for further discussion (negotiation) with the grantee over some of the points raised. There may also have been instances where the consultants decided to differ in opinion with the

grantee.

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USAID-ICDA Agreement (No. 674-0305-G-SS-3094-00) and amendment documents comprising: cover letter; Attachment 1, Schedule; Attachment 2, Program Description; Amendment 1; and Amendment 2.

USAID-ICDA Agreement (No. 674-0305-G-SS-6034-00) comprising: cover letter; Attachment 1, Schedule; Attachment 2, Program Description; attachments 5, 8 and 9; and USAID Action Memorandum dated 6 June 1996.

ANNEX

ICDA's Comments on the Draft Evaluation Report (see hard copy)

ICDA's comments on the first draft of the evaluation report (which was issued on 23/12/1998) are enclosed for the record. The consultants have not addressed all the grantee's comments in the final evaluation report. This relates partly to the limited time available to them to conduct and finalize the evaluation. Also, and more importantly, there would have been a need for further discussion (negotiation) with the grantee over some of the points raised. There may also have been instances where the consultants decided to differ in opinion with the grantee.